

Workstream:

Training

# Training Workstream Kick-Off Meeting



March 6, 2008

## TODAY'S DISCUSSION - Training Workstream

<b>Objectives</b>
<ul style="list-style-type: none"><li>• Review high-level recommendations</li><li>• Discuss workstream direction</li></ul>

<b>Agenda</b>
<ul style="list-style-type: none"><li>• Background<ul style="list-style-type: none"><li>– Diagnostic</li><li>– Business Efficiency Assessment</li></ul></li><li>• Talent Management Framework</li><li>• Update on Overlapping Workstreams</li><li>• High-level Direction</li><li>• Next Steps</li></ul>

# TALENT MANAGEMENT INITIATIVES

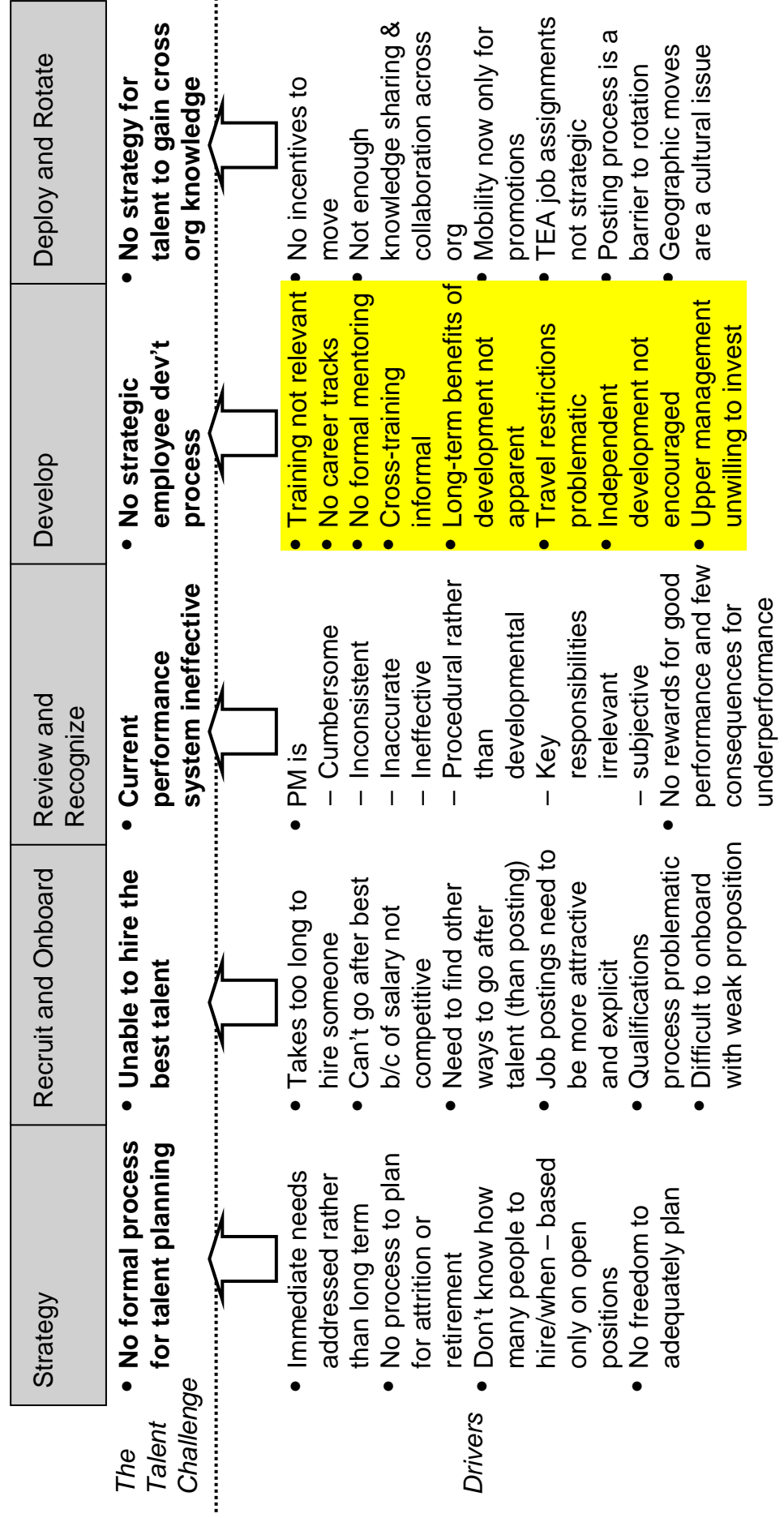
## High-level Recommendation

- 1 Define talent management strategy
  - Implement effective talent management strategy and communicate
  - Identify and plan for talent and capability needs in organization
- 2 Revise hiring practices
  - Define alternatives to posting process
  - Streamline qualification and approval process to allow greater hiring manager discretion and revise posting process
- 3 Define and improve employee value proposition
  - Define and communicate new and existing attributes for attraction and retention of employees (e.g. career tracks, work/life balance)
  - Develop a HR strategic plan to get salaries closer to market
- 4 Revamp performance review
  - Develop performance review system and tool with two levers of evaluation to include metrics and developmental opportunities (leadership competencies for top managers) that is objective
  - Improve ability to manage rewards and consequences (non-financial rewards, performance pay, consequences for underperformance)
  - Train managers on performance feedback (positive and negative)
- 5 Revamp training program to strategically deploy resources
  - Continually assess organizational training needs based on vision, goals, and strategy
  - Deploy training resources based on org needs and most effective training formats for development segments
- 6 Develop employee career tracks
  - Develop system to define goals for role and career
  - Define technical, functional, and managerial career tracks
  - Develop assessment and dev't tools to enable process
- 7 Develop system for leadership planning
  - Define key leadership roles in organization that drive vision/goals
  - Develop system to identify high potential employees and build their capabilities to fill these positions (heavy mobility)
- 8 Employee Engagement Survey
  - Define an effective tool to gauge employee satisfaction and commitment

# TALENT MANAGEMENT INITIATIVES

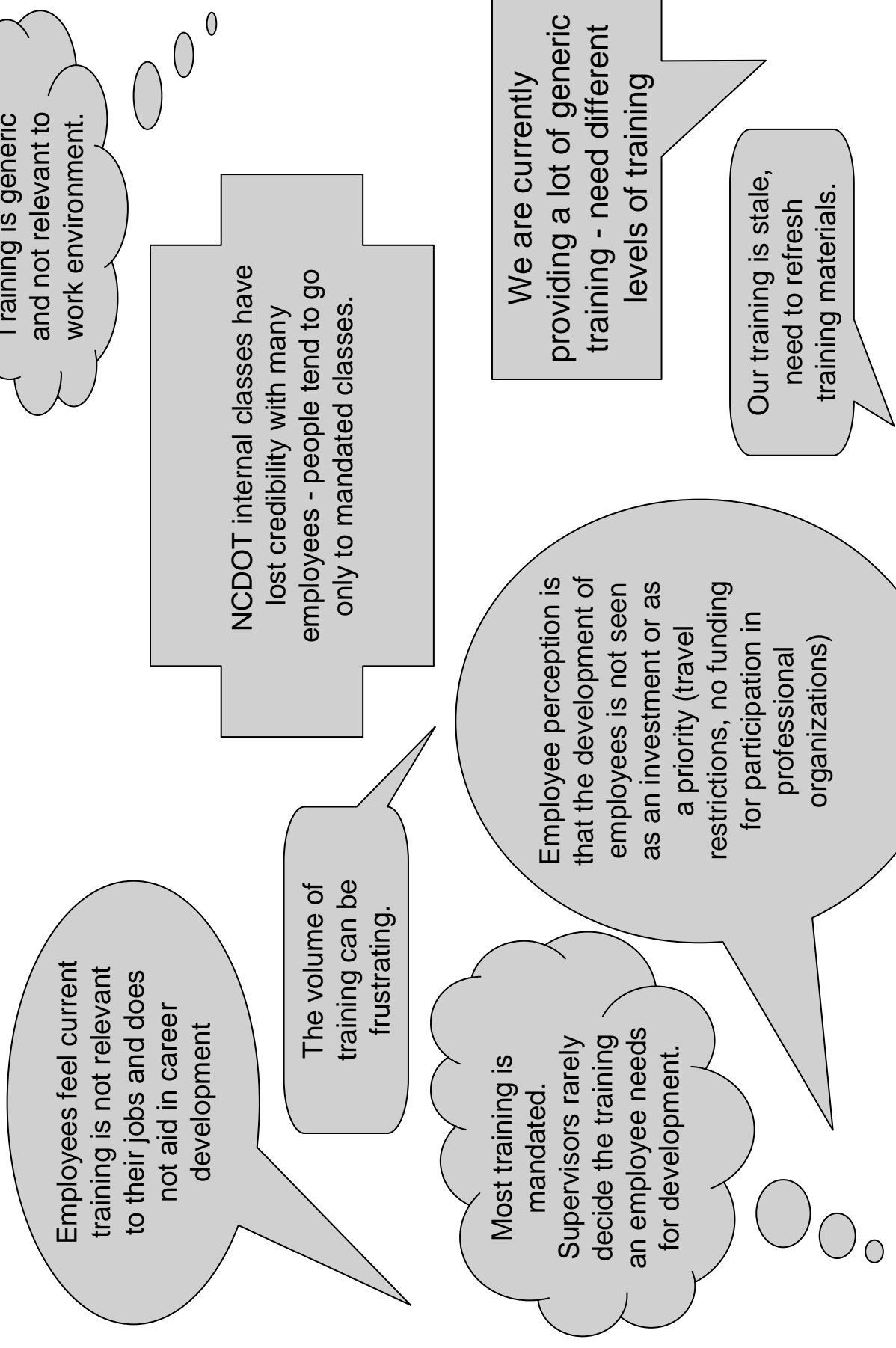
	High-level Recommendation
9 Recruitment Proposal	Define effective recruitment tools to attract high performing employees
10 Improve Employee Orientation	Improve on-boarding process for employees to effectively integrate in the workplace (new hires and internal transfers)
11 Institute Quick Wins	Eliminate mandated vacancy rate, less time to obtain approval for travel, reduce approval steps for personnel packages, modify 10% rule, reinstate PE Bonus, implement clerical equity study, reinstate mentorship programs
12 Department-wide Mentorship	Institute a culture of mentorship throughout the department. TEA Program and reinstating the Female Mentorship Program will begin January, 2008 with a plan to have the department-wide initiative implemented January, 2009.
Others:	
Career Mobility Plan - Kick off after Career Tracks and Training are underway	
Knowledge Transfer Program - OSP Program under development	
Diversity of Thought - OSP Program under development	

## RESULTS: KEY CHALLENGES IN TALENT MANAGEMENT



Source: Focus groups, interviews, McKinsey diagnostic

## Fact Base for Developing a Training Workstream



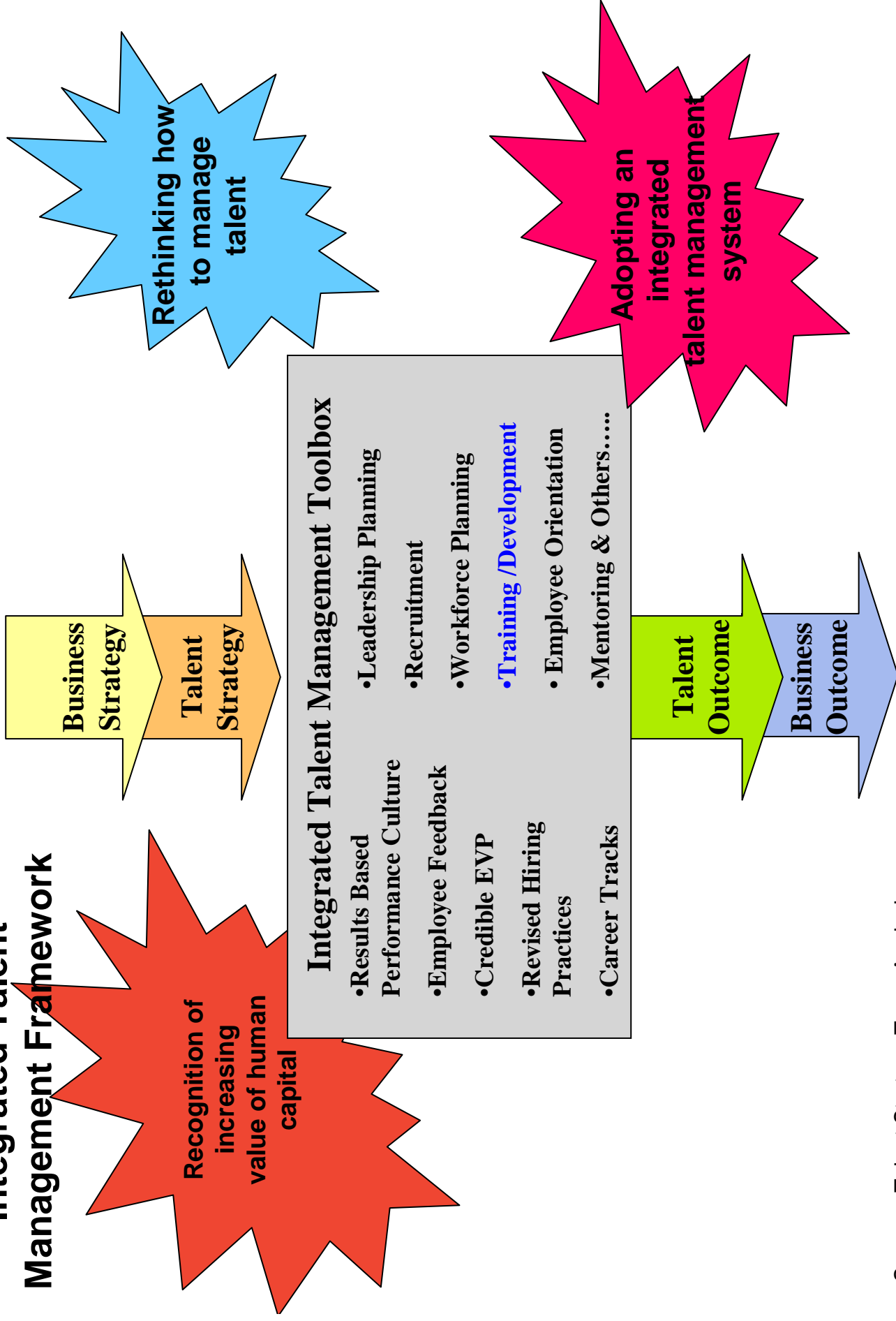
# **BUSINESS EFFICIENCY ASSESSMENT**

## **Training Opportunities**

- SAP Training
- Procurement Training
- Value Engineering - *Sharpening our pencils*
- Accounting and Budget Management
- Project Management (Bridge & TIP pilots and Office of Project/Program Delivery)
- Leadership (TMT Talent Management)
- Supervisory & Manager (TMT Talent Management)

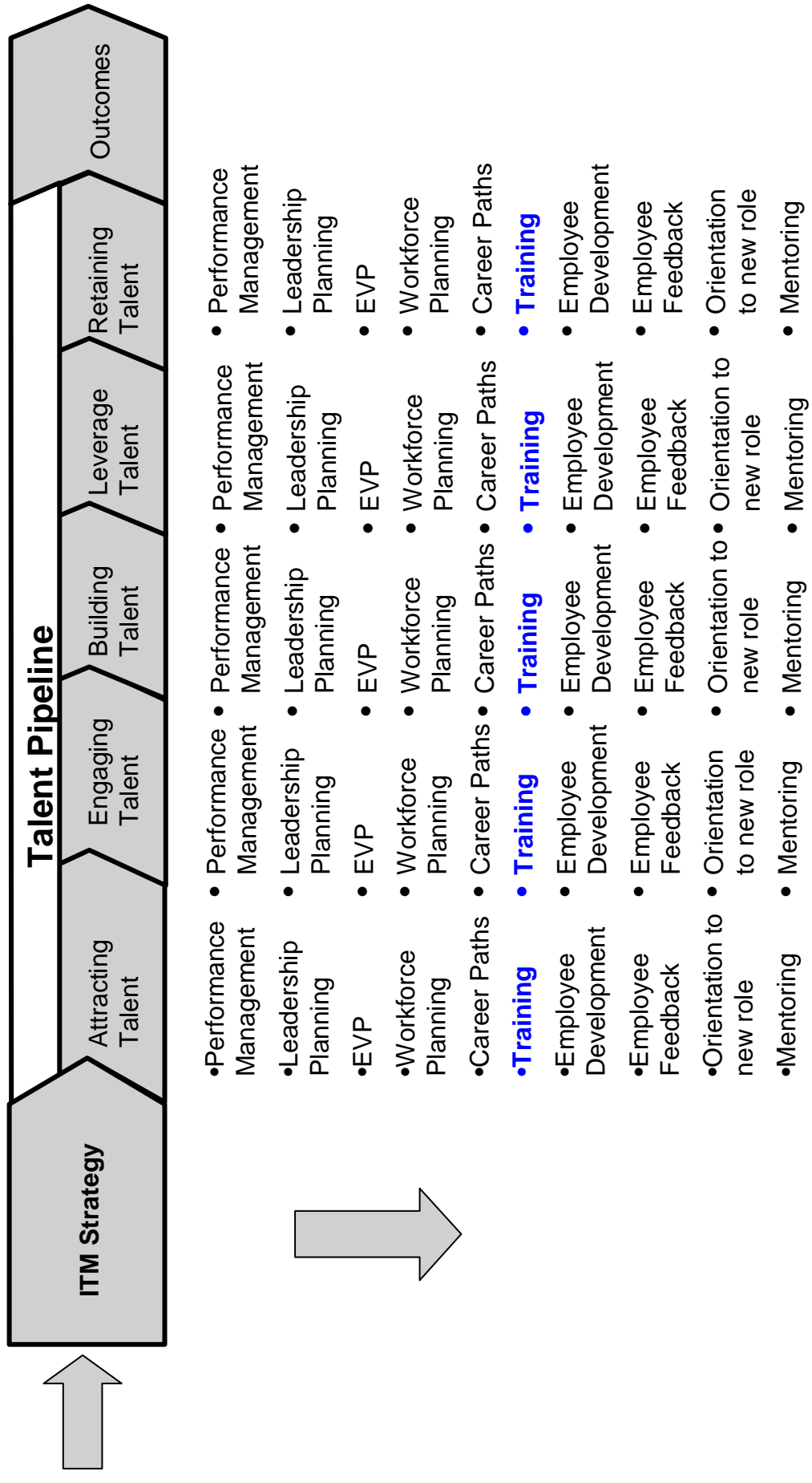


# Integrated Talent Management Framework



Source: Talent Strategy Team Analysis

INTEGRATED TALENT MANAGEMENT FRAMEWORK -  
Conceptual Model to Reality



# DIRECTION FROM LEADERSHIP TEAM

## New Employee Needs (include TEA)

- Define core training for new employees (thru first 5 years)
- Are there ways to accelerate employee development?
- \*Assess employees currently in 5 year pipeline and develop process to ensure they get needed training

## Top 40

- What are needed skill sets (managerial, technical, etc.)?
- Define basic training needs – SAP, Managerial, Budget Mgmt., Asset Mgmt., etc.
- \*\*Assess training available today and opportunities for immediate (value) impact
- \*\*Assess gaps in knowledge and target actions for coverage

## Overall

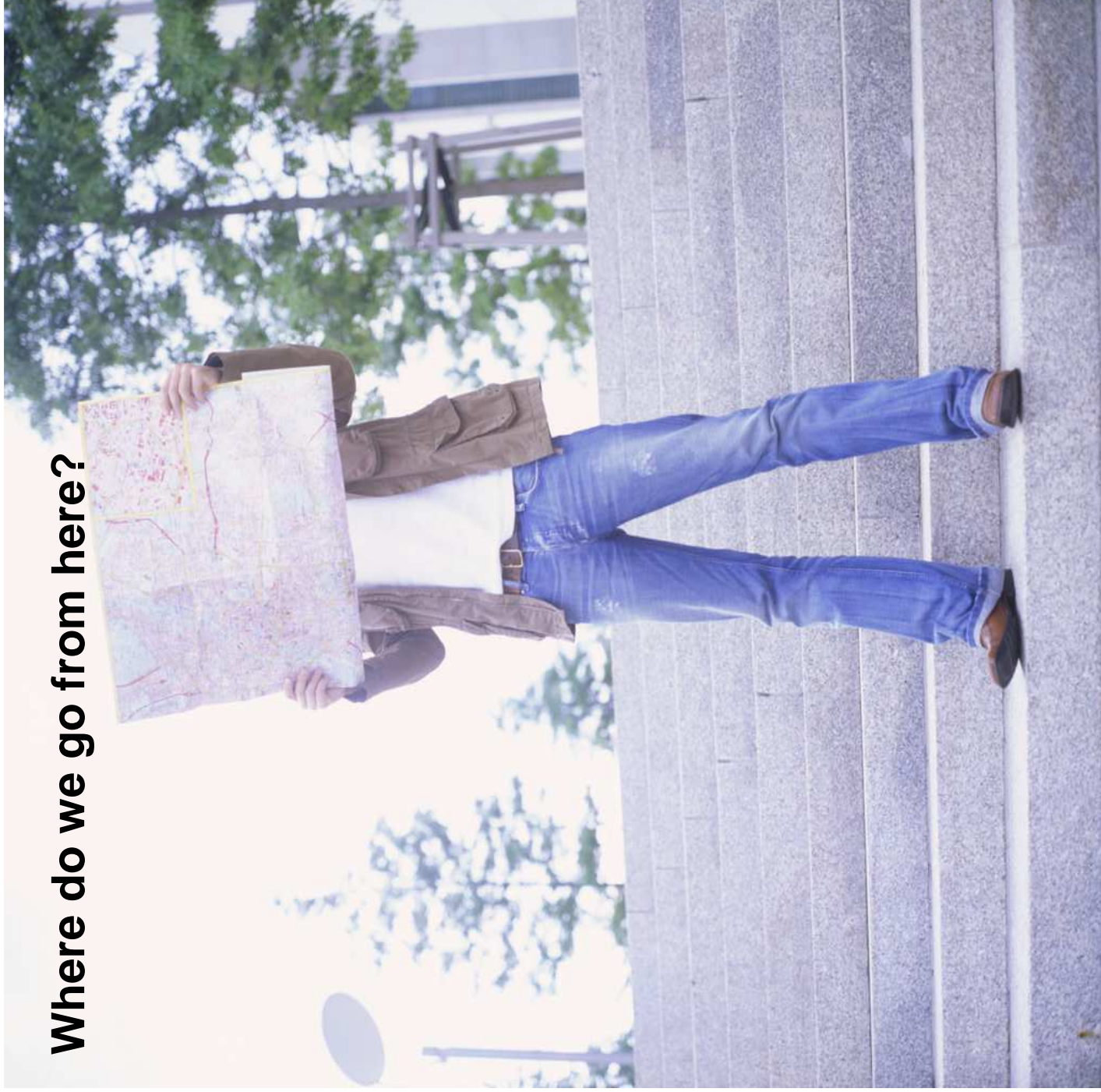
- Look for common threads to maximize effectiveness
- Provide an understanding of “Why you manage stuff” to provide a more global understanding of DOT operations.
- Investigate opportunities to partner with university system to define MBA/MPA credit for PMP type courses
- Training Database Review

\*Overlap with Career Tracks

\*Overlap with Leadership Planning

## **Update on Relevant Workstreams**

- Career Tracks
- Leadership Planning
- IT Workstream
- Project/Program Delivery



**Where do we go from here?**

Talent Management Team

# Training Work Group



Presentation to Transformation Management Team  
June 2, 2008





- **Work Group Members**
- **Diagnostic Overview**
- **Leadership Direction**
- **Issues Identified**
- **Recommendations**
- **Next Steps**

## WORK GROUP MEMBERS:




- Jorjins, DOH, Division 5, Deputy Division Engineer/TMT
- Anthony, Division 1, Division Engineer/TMT  
Deputy Secretary, Administration and  
Business Development
- Angela Faulk, DOT, HR Director
- Bev Saylor, DOT, Acting Director - Training & Development
- Aurea Hernandez, Business Systems Information Portal Support Center -  
Training Delivery & Document Development/TMT
- Ann Cobb, OSP, Managing Partner HRD Group



# DIAGNOSTIC OVERVIEW:



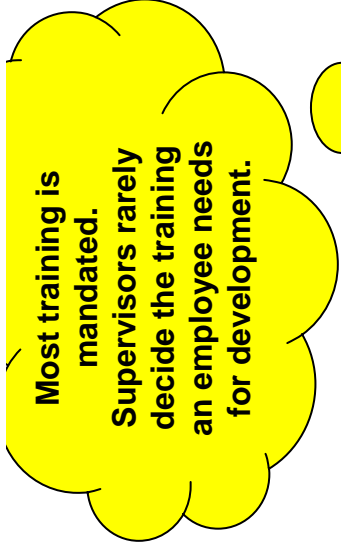
Employees feel current training is not relevant to their jobs and does not



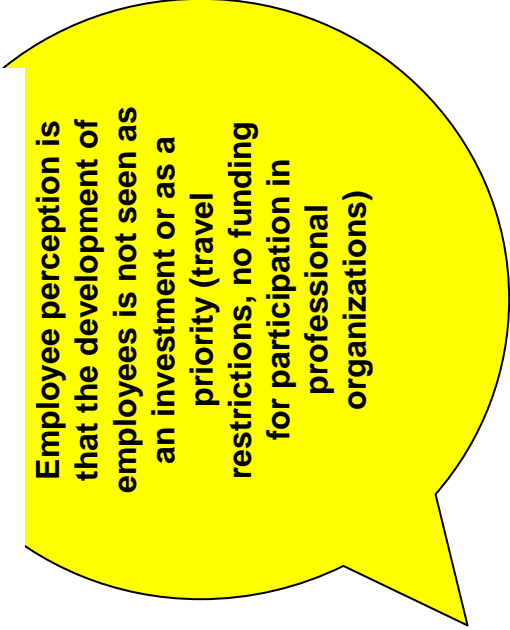
Training is generic and not relevant to work environment.

## REVAMP TRAINING PROGRAM TO STRATEGICALLY DEPLOY RESOURCES

- Continually assess organizational training needs based on vision, goals, and strategy
- Deploy training resources based on organizational needs and most effective training formats



Most training is mandated. Supervisors rarely decide the training an employee needs for development.



Employee perception is that the development of employees is not seen as an investment or as a priority (travel restrictions, no funding for participation in professional organizations)

# LEADERSHIP DIRECTION

## New Employee Needs (include TEA)

- Define core training for new employees (thru first 5 years)
- Are there ways to accelerate employee development?
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## Overall

- Look for common threads to maximize effectiveness
- Provide an understanding of “Why you manage stuff” to provide a more global understanding of DOT operations.
- Investigate opportunities to partner with university system to define MBA/MPA credit for PMP type courses
- Training Database Review

\*Overlap with Career Tracks

\*\*Overlap with Leadership Planning

## ISSUES IDENTIFIED:

- training management tool available
- universal training oversight or coordination
- clear cut training plans developed by classification
- fiscal pain associated with training
- strategic training plan
- way to measure training effectiveness

THERE  
IS NO

# RECOMMENDATIONS:

## **Implement an Enterprise Learning Solution**

What is an Enterprise Learning Solution?

-Interim

- Training Profile -

Does not include all training opportunities

In process of adding HiCaMS, BEACON, BSIP data

-Future

- Enterprise Learning System -

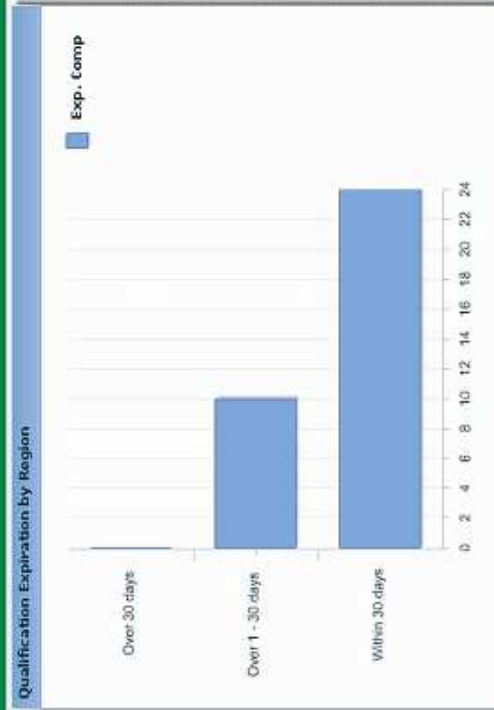
SAP

# SAP ENTERPRISE LEARNING: MEETING ALL YOUR TRAINING NEEDS

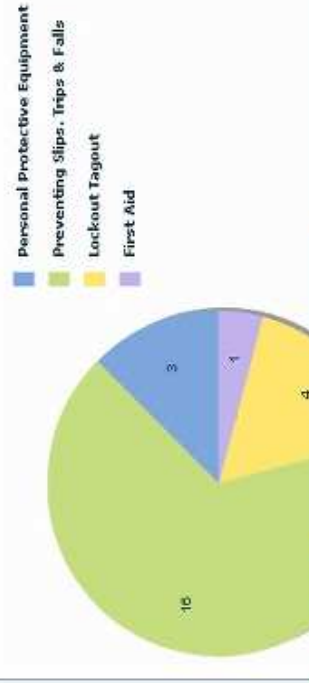
Contact SAP

Now Playing:

Incidents By Region			
Region	# of Employees	Incidents	Percentage
Northeast	421	12	2.8
South	513	3	0.58
Midwest	373	2	0.54
West	229	2	0.87



Expirations by course



Employees Requiring Re-certification

Course Title	Employees Requiring Re-certification
Preventing Slips, Trips & Falls	Mario Diaz
Preventing Slips, Trips & Falls	LuAnne Gary
Preventing Slips, Trips & Falls	Bridget Olsen
Preventing Slips, Trips & Falls	Tony LaRocco
Preventing Slips, Trips & Falls	Will Hansen
Preventing Slips, Trips & Falls	Eric Kasabian
Preventing Slips, Trips & Falls	Sherry Orment
Preventing Slips, Trips & Falls	Tyler Newsome
Preventing Slips, Trips & Falls	Jeanette Wood
Preventing Slips, Trips & Falls	Jordan Berry

03:13 CC

Learn More

# SAP ENTERPRISE LEARNING: MEETING ALL YOUR TRAINING NEEDS

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Now Playing:

## Dynamic Course Menu

Course Catalog		Further Information	Further Information	Key	ShText
Current plan 12/04/2007 - 08/04/2008 All Languages					
Core Employee Development				L 50013648	Emp. Dvlpmnt
Environmental Training				L 50014047	Environment
Hazardous Waste Incineration	Classroom Training			D 50014048	Waste
Environmental Management	Classroom Training			D 50014052	EnvironMgmt
Industrial & Hazardous Waste Management	Classroom Training			D 50014055	IndHWaste
Personal Protective Equipment	Web-Based Training			D 50029097	PPE
Severe Weather /Protective Action Course	Web-Based Training			D 50036096	Sev Weather
Hazardous Materials Handbook	Classroom Training			D 50037226	HazMatHand
Spill Control and Countermeasure	Classroom Training			D 50037231	Spill Contro
Preventing Slips, Trips & Fall	Virtual Learning Roo...			D 50048148	SLP100
12/13/2007 - 12/14/2007 EN:SLP100	Planned Internal	30	Avail	E 50048157	SLP100
12/17/2007 - 12/17/2007 EN:SLP100	Planned Internal	30	Avail	E 50048156	SLP100
Languages				L 50000890	Languages
Management and Leadership Development				L 50000469	Management
Partner Content				L 50035922	Partner Cont
Professional Training				L 50016230	Prof
SAP Offerings				L 50043873	SAP Offering
SAP Technology Training				L 50000467	SAP Trng
Sales Training				L 50016894	Sales
Training Austria				L 50048028	Training AT
Training International				L 50033455	Training Int
Training Italy				L 50040476	Training IT
Training Japan				L 50025302	IDES HR JP
Training Korea				L 50031073	Training KR
Training Russia				L 50032353	Training RU
Training Switzerland				L 50025730	Cons&Sales
Training Taiwan				L 50031386	Training TW
Training UK				L 50029556	Training UK

02:46 CC

Learn More





# SAP ENTERPRISE LEARNING: MEETING ALL YOUR TRAINING NEEDS

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Now Playing:

Preventing Slips, Trips and Falls | Acrobat Connect Professional

SAP Meeting Help

Class Attendees (4)

My Status

Ken Hudson

Jean Marie Robert

Chris McLaughlin

Tony LaRocco

Chat

The chat history has been cleared.

Tony LaRocco: Are there handouts for this course?

Ken Hudson: Yes. Go to the Class Handouts pod and save them to your computer.

Preventing Slips, Trips and Falls.apt

Preventing Slips, Trips and Falls

Safety Training

Instructor: Ken Hudson

Outline

Slide Title

Duration

Notes

Preventing Slips, Trip...

00:05

Course Topics

00:05

Why Is Prevention Im...

00:05

How Do Falls Happen?

00:05

Slips

00:05

Trips

00:05

How to Prevent Falls ...

00:05

What Can You Do To ...

00:05

What Can You Do To ...

00:05

What Can You Do To ...

00:05

0 Minutes 50 Seconds Remaining

Class Handouts

Name

Size

Filing An Accident Report.doc

24 KB

Class Notes

Please call into the conference call:

888-552-1392

Passcode 42359

01:50 CC



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**SAP ENTERPRISE LEARNING:  
MEETING ALL YOUR TRAINING NEEDS**

**SAP**

Help | Personalize | Log Off

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Collaboration | Search | Advanced Search

Home | Employee Services | Learning | Learning

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**Navigation**

- Training Home
- Information

**Find**

Search Term  Extended Search

**Find**

**Course Catalog**

- Core Employee Development
- Environmental Training
- HCH Sales DE
- Technical Training
- Information systems
- Management and Leadership Development
- Professional Training
- SAP Technology Training
- Sales Training
- Trainingsprogramp
- Training international
- Culture & Development

**My Learner Account**

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**Curriculum New Hire Curriculum 12/03/2007-05/20/2008**

Course Catalog > Core Employee Development > New Hire Training > New Hire Curriculum > 12/03/2007 - 05/20/2008 > Participation

Select one of the available dates for each course.

Curriculum Schedule						
Company Orientation Program (Classroom Training)						
N	Schedule	Location	Available Places	Language	Information	Fee
	Start 12/10/2007 At 00:01 End 12/10/2007 At 23:59	Atlanta	20	English	Information	Free of Charge
Ethics in the Workplace (Classroom Training)						
N	Schedule	Location	Available Places	Language	Information	Fee
	Start 12/17/2007 At 00:01 End 12/17/2007 At 23:59	Philadelphia	30	English	Information	100.00 USD
	Start 12/27/2007 At 00:01 End 12/27/2007 At 23:59	Philadelphia	30	English	Information	100.00 USD
Cultural Differences (Web-Based Training)						
N	Schedule	Language	Information	Fee		
	12/03/2007-05/20/2008	English	Information	Free of Charge		
Preventing Slips, Trips and Falls (Static Web-Based Training)						
N	Schedule	Language	Information	Fee		
	01/14/2008-05/20/2008	English	Information	Free of Charge		

# RECOMMENDATIONS:

## **Provide a Training Clearinghouse (one-stop shopping):**

Develop a new function within HR (Training Administrator)

Duties:

- Provide a centralized effort for training
- Assess and analyze Department-wide training needs
- Develop long-range training plans
- Develop prioritized training plans
- Evaluate training activities
- Develop mechanisms to provide flexibility in training methods
- Continue to look for opportunities to improve training?
- Investigate need for a Management Development System
  - Structured Training Program (i.e. Transportation Academy)
  - Leadership Institute
  - Senior Leadership Institute

# RECOMMENDATIONS:

## *Provide Responsibility for T & D Cost:*

### Budget Workstream

- Types of Training
  - Safety
  - Administrative
  - Technical
  - Leadership
- Fiscal Pain

## RECOMMENDATIONS:

### **Identify Training Gaps:**

#### Interim

- Use survey to determine gaps in development opportunities as related to leadership competencies

#### Future

- Develop/Choose an assessment tool to determine gaps in development opportunities as related to supervisory and individual contributor competencies

# RECOMMENDATIONS:

## Develop a Process/Policy to Determine Training Effectiveness

### 4 Levels of Evaluating Training Effectiveness:

1. **Reaction or Satisfaction** – direct feedback from participants. May be a measure of retention or likelihood to attend future sessions.
2. **Knowledge Improvement** – test participants on knowledge gain.
3. **Job Performance** – how the participant applies the training on-the-job or demonstration of the new skill.
4. **Business Results** – improvement in business results

## **RECOMMENDATIONS:**

### **Develop an Employee Training & Development Plan (ETDP) Tool**

- Organized approach to training & development designed to improve an employee's professional skills and achievement of NCDOT's mission & goals
- Main Purpose
  - To identify, prioritize and record an employee's training needs and how and when training or experience will be obtained
  - To improve performance in current work assignments, acquire or sharpen competencies and prepare employee for positions of changing or greater responsibilities
- Timeframe
  - Short term (for the upcoming evaluation period) - aimed primarily at the achievement of the Department's mission & goals
  - Long term (1-3 years after the upcoming evaluation period) - aimed at the individual's career development and enrichment

## RECOMMENDATIONS:

### Develop an *Employee Training & Development Plan (ETDP) Tool*

- Types of Development and Training
  - **On Boarding Training** – related to the organization, including mission & goals, values as well as structure and history, etc.
  - **Mandatory Training** – required to satisfy federal, state, and/or department needs
  - **Professional Development Training** – long term, needed to fulfill employees personal development, career goals and potential for upward career enhancement
  - **Job Classification Training (Job Specific/Career Track)** – provides knowledge or skills needed by employee to perform or improve their performance in their current job
- Levels
  - Manager
  - Supervisor
  - Individual Contributor

## **RECOMMENDATIONS:**

### **Develop an *Employee Training & Development Plan (ETDP)* Tool**

- Onboarding/Mandatory Training initiated by Human Resources
- Professional Development/Job Classification Training jointly developed by supervisor and employee
- Reviewed periodically by supervisor and employee throughout year – at a minimum it should be reviewed and updated annually
  - both employee and supervisor rely on the ETDP as a roadmap to success
- “Living Document” (plan/not a contract) subject to change as work schedules, mission & goals, and even budgets shift



# RECOMMENDATIONS:

## Develop an Employee Training & Development Plan (ETDP) Tool

### *Benefits of an Employee Training & Development Plan*

- ✓ As a planning device
  - used by supervisors and employees to identify required training that will help them perform in their current job and /or upcoming review cycle while helping the organization meet its goals
  - used as the basis for input into the organization's training needs assessment and training plans
- ✓ For budget purposes - used as a tool to determine training needs and financial resource needs
- ✓ As a communication tool - used by supervisors and employees to discuss career goals and ways to maintain high levels of performance & productivity

# RECOMMENDATIONS:

## Develop an Employee Training & Development Plan (ETDP) Tool

### *Supervisor's Role*

- Represent the organization's needs, goals and opportunities
- Provide feedback on employee's performance in current job by identifying strengths and areas for improvement
- Act as a mentor and coach
- Communicate what is happening with the Department and within unit
- Help assess advancement potential and qualifications for other positions
- Act as a resource and referral for exploring career development options
- Support employees training and development by providing training opportunities and funding if
  - related to the Department's mission & goals
  - funds are available

## **RECOMMENDATIONS:**

### **Develop an Employee Training & Development Plan (ETDP) Tool**

#### ***Employee's Role***

- Take responsibility for their learning and development
- Provide input and participate actively in the development and review of the ETDP
- Research ways of meeting personal career goals and enhancing work performance
- Evaluate own progress and keep supervisor informed
- Identify opportunities for professional development

## **RECOMMENDATIONS:**

**Develop an Employee Training & Development Plan (ETDP) Tool**

**Employee Training & Development Plan Example**

**REVIEW HANDOUT**

## **NEXT STEPS:**

- Establish training position
- Explore Enterprise Wide License opportunities (Covey, Six Sigma, DDI, etc.)
- Prepare Training profile data for incorporation into LMS
- Continue development of training & development plan (new employees)
- Identify assessment tools to determine development/training gaps
- Develop/identify tools to determine training effectiveness
- Provide recommendation to OSP to explore additional opportunities for college credit for PMP, etc.
- Develop Training policy

# Mission and Goals

## NCDOT

### OUR MISSION

*"Connecting people and places  
in North Carolina – safely and  
efficiently, with accountability  
and environmental sensitivity"*

### OUR GOALS

- Make our transportation network **safer**
- Make our transportation network move people and goods more **efficiently**
- Make our infrastructure **last longer**
- Make our organization a place that **works well**
- Make our organization **a great place** to work



# NCDOT Employee Training & Development Plan (EXAMPLE)

		<b>Date</b>	
		July 07, 2008	
<b>Employee Name</b>		<b>Employee ID</b>	
Ken Greenthumb			
<b>Business Unit</b>		<b>Period Covered</b>	
Roadside Environmental Division 14		07/07/08 – 07/07/09 (1 Year)	
<b>Current Position</b>		<b>Position Level</b>	
Transportation Worker Level 1		<b>X</b>	<b>Individual Contributor</b>
			<b>Supervisor</b>
			<b>Manager</b>
<b>Year 1 - Developmental Goals</b> Critical within present position	<b>Year 2 - Developmental Goals</b> Important for growth in present position	<b>Year 3 - Developmental Goals</b> Helpful for achieving career goals	
<ul style="list-style-type: none"> <li>IR4 – Obtain CDL</li> <li>IR7 - Operate Dump Truck</li> </ul>	Complete all skill blocks required of TW Level 1		

\_\_\_\_\_  
**Supervisor's Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Employee's Signature**

\_\_\_\_\_  
**Date**



# NCDOT Employee Training & Development Plan (EXAMPLE)

<b>ON BOARDING TRAINING</b> (Within first 30 days of employment )	<b>Activity</b>	<b>Time Frame</b>	<b>Completion Date</b>	<b>Results Expected (Measures)</b>
New Hire Orientation	Training Course	Day 1		
<u>Overview of NCDOT</u> (New) Content of this course would include: Org Structure, Funding, Legislature, Your Role as NCDOT Employee, History, etc	Training Course	First 30 days		
<u>Customer Service Basics</u> (New) Content of this course would include recognizing internal/external customers, how quality service impacts public perceptions about NCDOT, etc.	Training Course	First 30 days		Able to adjust priorities to respond to customer service demands
BEACON/NCID	Online Tutorial	Week 1		
ADA/BBP	Training Course	First 30 days		Complies with DOT's BPP policy .

<b>MANDATORY TRAINING</b> (Within in first 12 months of employment)	<b>Activity</b>	<b>Time Frame</b>	<b>Completion Date</b>	<b>Results Expected (Measures)</b>
Diversity for Today's Employee (All)	Training Course	First 12 Months		
Control Substance & Alcohol (Supervisors & Managers)	Training Course	First 12 Months		
Workplace Violence Awareness (All)	Training Course	First 12 Months		
Ethics for Today's Employee (All)	Training Course	First 12 Months		
PDA (Supervisor/Manager)	Training Course	First 60 Days		
Equal Employment Opportunity (Supervisors/Managers)	Training Course	First 12 Months		
Workplace Violence (Supervisor/Managers)	Training Course	First 12 Months		
CPR/First Aid (TW – Entry Level)	Training Course	First 12 Months		
Noise Exposure (TW – Entry Level)	Training Course	First 12 Months		

<b>PROFESSIONAL DEVELOPMENT</b> (On Going)	<b>Activity</b>	<b>Time Frame</b>	<b>Completion Date</b>	<b>Results Expected (Measures)</b>
Leadership Concepts	Training Course			
Coaching for Performance Improvement	Webinar			
Time Management	Training Course			
Managing Multiple Priorities	Training Course			
▪ Team Building	Workshop			

# NCDOT Employee Training & Development Plan

## EXAMPLE

### TRANSPORTATION WORKER ENTRY LEVEL 1 - ROADSIDE ENVIRONMENTAL

JOB CLASSIFICATION TRAINING					
JOB SPECIFIC (As needed/required by employee's job)		Activity	Time Frame	Completion Date	Results Expected (Measures)
Small Hand & Power Tools	1R1	View Hand Power Tool Video #226	First 2 Yrs		
Operate 2 <sup>nd</sup> Piece of Category A Equipment	1R2	Tractor Mower Guide	First 2 Yrs		
Operate 3 <sup>rd</sup> Piece of Category A Equipment	1R3	Forklift Guide	First 2 Yrs		
Commercial Drivers License	1R4	Obtain a Commercial Drivers License from DMV	First 2 Yrs		
Operate 4 <sup>th</sup> Piece of Category A Equipment	1R5	Air Compressor	First 2 Yrs		
Vegetation Management Module Level 1	1R6	Complete Vegetation Management Module – Level 1	First 2 Yrs		
		Satisfactorily Complete 6 months experience in Roadside Env. crew	First 2 Yrs		
Operate Medium Dump Truck	1R7	**Prereq IR4 Dump Truck Guide	First 2 Yrs		
Securing and Hauling Loads **OPTIONAL**	1R8	Demonstrate skills to the Supervisor's satisfaction	First 2 Yrs		
Conduct Flagging Operations A. **OPTIONAL**	1R9	Complete Flagging School SAF-238	First 2 Yrs		
CERTIFICATIONS (As needed/required by employee's job)					
CAREER TRACK					

# NCDOT Employee Training & Development Plan Legend

## On Boarding Training

- Training related to the organization, including mission & goals, values as well as structure and history, etc.
- Required within first 30 days of employment
- Provides a new employee with general information about the day to day operations of NCDOT

## Mandatory Training

- Training required to satisfy federal, state, and/or department needs regardless of position (i.e., Manager, Supervisor, Individual Contributor, etc.)
- Some training may require annual refresher training
- Based on employees position ( i.e., Manager, Supervisor, Individual Contributor), this section would also include training specific to position
- Required within first 6 – 12 months of employment

## Professional Development Training

- Training that is long term, needed to fulfill employees personal development, career goals and potential for upward career advancement
- This training is associated with development of competencies on PDA
- Ongoing training needs would be reviewed during PDA reviews
- Includes training that is required on yearly basis because of licensure (i.e., PE)

## Job Classification Training

- **Job Specific Training**
  - Training that provides knowledge or skills needed by employee to perform or improve their performance in their current job
  - May be provided mentor, supervisor or coworker (On-the-Job)
  - Formal classroom training required of a job specific certification (i.e., Pavement Mgt, Geotechnical, etc.)
  - Responsibility of Manager/Supervisor to help employee determine training needs
- **Career Track Training**
  - Training that provides knowledge or skills needed to progress within a selected track
  - Initially be determined by employees Job classification and selected career track (Managerial, Technical, Functional)
  - Ongoing training needs would be reviewed during PDA reviews to identify desired/eligible career track and determine training needs required of the selected track
- **Activity**
  - Formal classroom training, On-the-job training, Mentoring/coaching
  - Self development (i.e., taking classes on non-work time to finish a degree)
  - Learning activities (i.e., shadowing a supervisor, special project assignments)
  - Other activities (self-instructional books, audio/video tapes, online training, participating in committees)
- **Time Frame**
  - Time frame within which training/development activity should be started/completed
- **Completion Date**
  - Date on which activity was completed
- **Results Expected (Measures)**
  - Description of expected outcome which demonstrates completion of the activity (i.e. what will the employee be able to do as a result of completing the training)

Talent Management Team

# Training Work Group



**Presentation to Leadership Team  
June 10, 2008**



- **Work Group Members**
- **Diagnostic Overview**
- **Leadership Direction**
- **Issues Identified**
- **Recommendations**
- **Next Steps**

## WORK GROUP MEMBERS:




- Jorjins, DOH, Division 5, Deputy Division Engineer/TMT
- Anthony, Division 1, Division Engineer/TMT  
Deputy Secretary, Administration and  
Business Development
- Angela Faulk, DOT, HR Director
- Bev Saylor, DOT, Acting Director - Training & Development
- Aurea Hernandez, Business Systems Information Portal Support Center -  
Training Delivery & Document Development/TMT
- Ann Cobb, OSP, Managing Partner HRD Group

# DIAGNOSTIC OVERVIEW:




Employees feel current training is not relevant to their jobs and does not



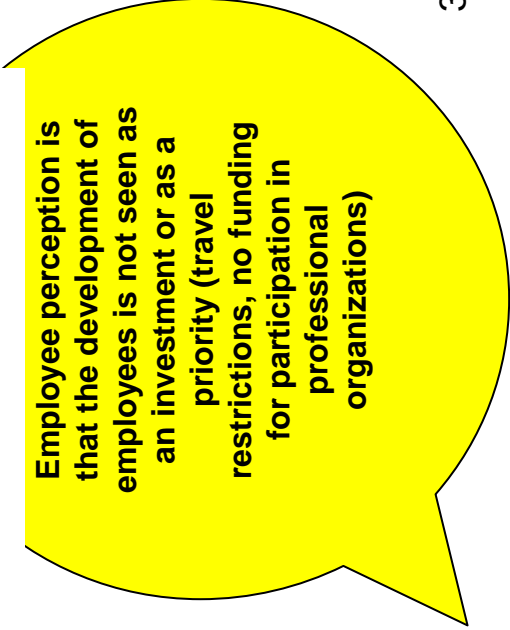
Training is generic and not relevant to work environment.

## REVAMP TRAINING PROGRAM TO STRATEGICALLY DEPLOY RESOURCES

- Continually assess organizational training needs based on vision, goals, and strategy
- Deploy training resources based on organizational needs and most effective training formats



Most training is mandated. Supervisors rarely decide the training an employee needs for development.



Employee perception is that the development of employees is not seen as an investment or as a priority (travel restrictions, no funding for participation in professional organizations)



# LEADERSHIP DIRECTION

## New Employee Needs (include TEA)

- Define core training for new employees (thru first 5 years)
- Are there ways to accelerate employee development?
- \*Assess employees currently in 5 year pipeline and develop process to ensure they get needed training

## Top 40

- What are needed skill sets (managerial, technical, etc.)?
- Define basic training needs – SAP, Managerial, Budget Mgmt., Asset Mgmt., etc.
- \*\*Assess training available today and opportunities for immediate (value) impact
- \*\*Assess gaps in knowledge and target actions for coverage

## Overall

- Look for common threads to maximize effectiveness
- Provide an understanding of “Why you manage stuff” to provide a more global understanding of DOT operations.
- Investigate opportunities to partner with university system to define MBA/MPA credit for CPM type courses
- Training Database Review

\*Overlap with Career Tracks

\*\*Overlap with Leadership Planning

## ISSUES IDENTIFIED:

- training management tool available
- universal training oversight or coordination
- clear cut training plans developed by classification
- fiscal pain associated with training
- strategic training plan
- way to measure training effectiveness

THERE  
IS NO

# RECOMMENDATIONS:

## **Implement an Enterprise Learning Solution**

What is an Enterprise Learning Solution?

-Interim

- Training Profile -

Does not include all training opportunities

In process of adding HiCaMS data

SAP data is hand entered

-Future

- BEACON – LSO (Learning Solution)

Jul 2008 Pilot

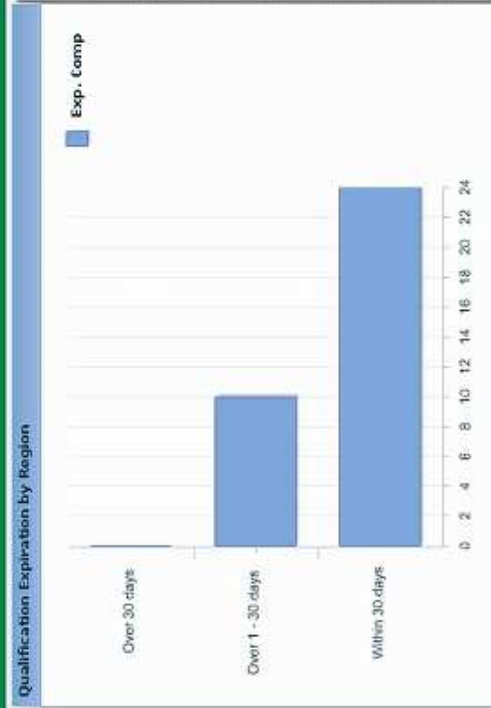
Mar 2009 Launch

# SAP ENTERPRISE LEARNING: MEETING ALL YOUR TRAINING NEEDS

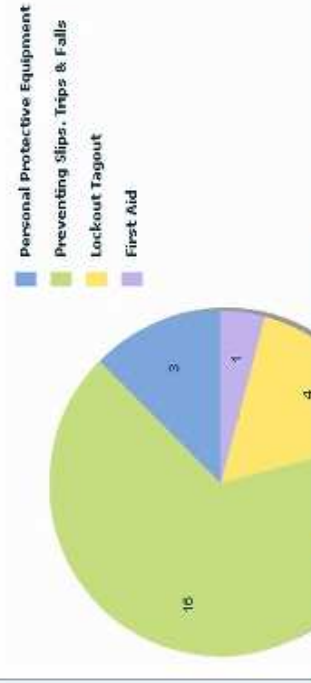
Contact SAP

Now Playing:

Incidents By Region			
Region	# of Employees	Incidents	Percentage
Northeast	421	12	2.8
South	513	3	0.58
Midwest	373	2	0.54
West	229	2	0.87



Expirations by course



Employees Requiring Re-certification

Course Title	Employees Requiring Re-certification
Preventing Slips, Mario Diaz	
Preventing Slips, LuAnne Gary	
Preventing Slips, Bridget Olsen	
Preventing Slips, Tony LaRocco	
Preventing Slips, Will Hansen	
Preventing Slips, Eric Kasabian	
Preventing Slips, Sherry Orment	
Preventing Slips, Tyler Newsome	
Preventing Slips, Jeanette Wood	
Preventing Slips, Jordan Berry	

Learn More

03:13 CC

# SAP ENTERPRISE LEARNING: MEETING ALL YOUR TRAINING NEEDS

Contact SAP

Now Playing:

## Dynamic Course Menu



Course Catalog	Further Information	Further Information	Key	ShText
Current plan 12/04/2007 - 08/04/2008 All Languages				
Core Employee Development				
Environmental Training				
Hazardous Waste Incineration	Classroom Training		L 50013648	Emp. Dvlpmnt
Environmental Management	Classroom Training		L 50014047	Environment
Industrial & Hazardous Waste Management	Classroom Training		D 50014048	Waste
Personal Protective Equipment	Classroom Training		D 50014052	EnvironMgmt
Severe Weather/Protective Action Course	Web-Based Training		D 50014055	IsHWaste
Hazardous Materials Handbook	Web-Based Training		D 50029097	PPE
Spill Control and Countermeasure	Classroom Training		D 50036096	Sev Weather
Preventing Slips, Trips & Fall	Classroom Training		D 50037226	HazMatHand
	Virtual Learning Roo...		D 50037231	Spill Contro
			D 50048148	SLP100
			E 50048157	SLP100
			E 50048156	SLP100
			L 50000890	Languages
			L 50000469	Management
			L 50035922	Partner Cont
			L 50016230	Prof
			L 50043873	SAP Offering
			L 50000467	SAP Trng
			L 50016894	Sales
			L 50048028	Training AT
			L 50033455	Training Int
			L 50040476	Training IT
			L 50025302	IDES HR JP
			L 50031073	Training KR
			L 50032353	Training RU
			L 50025730	Cons&Sales
			L 50031386	Training TW
			L 50029556	Training UK

02:46 CC

Learn More





# SAP ENTERPRISE LEARNING: MEETING ALL YOUR TRAINING NEEDS

Contact SAP

Now Playing:

Preventing Slips, Trips and Falls | Acrobat Connect Professional

SAP Meeting Help

Class Attendees (4)

My Status

Ken Hudson

Jean Marie Robert

Chris McLaughlin

Tony LaRocco

Chat:

The chat history has been cleared.

Tony LaRocco: Are there handouts for this course?

Ken Hudson: Yes. Go to the Class Handouts pod and save them to your computer.

Preventing Slips, Trips and Falls.apt

Preventing Slips, Trips and Falls

Safety Training

Instructor: Ken Hudson

Outline

Slide Title

Duration

Preventing Slips, Trip...

00:05

Course Topics

00:05

Why Is Prevention Im...

00:05

How Do Falls Happen?

00:05

Slips

00:05

Trips

00:05

How to Prevent Falls ...

00:05

What Can You Do To ...

00:05

What Can You Do To ...

00:05

What Can You Do To ...

00:05

0 Minutes 50 Seconds Remaining

Class Handouts

Name

Size

Filing An Accident Report.doc

24 KB

Class Notes

Please call into the conference call:

888-552-1392

Passcode 42359

01:50 CC



01:16 CC 

## **RECOMMENDATIONS:**

### **Provide a Training Clearinghouse (one-stop shopping):-**

Develop a new function within HR (Training Administrator)

Duties:

- Provide a centralized effort for training
- Assess and analyze Department-wide training needs
- Develop long-range training plans
- Develop prioritized training plans
- Evaluate training activities
- Develop mechanisms to provide flexibility in training methods
- Continue to look for opportunities to improve training?
- Investigate need for a Management Development System
  - Structured Training Program (i.e. Transportation Academy)
  - Leadership Institute
  - Senior Leadership Institute

## **RECOMMENDATIONS:**

### **Provide Responsibility for T & D Cost:**

#### Budget Workstream

- Types of Training
  - Safety
  - Administrative
  - Technical
  - Leadership
- Fiscal Pain

## RECOMMENDATIONS:

### Identify Training Gaps:

#### Interim

- Use survey to determine gaps in development opportunities as related to leadership competencies

#### Future

- Develop/Choose an assessment tool to determine gaps in development opportunities as related to supervisory and individual contributor competencies

# RECOMMENDATIONS:

## Develop a Process/Policy to Determine Training Effectiveness

### 4 Levels of Evaluating Training Effectiveness:

1. **Reaction or Satisfaction** – direct feedback from participants. May be a measure of retention or likelihood to attend future sessions.
2. **Knowledge Improvement** – test participants on knowledge gain.
3. **Job Performance** – how the participant applies the training on-the-job or demonstration of the new skill.
4. **Business Results** – improvement in business results

## **RECOMMENDATIONS:**

### **Develop an Employee Training & Development Plan (ETDP) Tool**

- Organized approach to training & development designed to improve an employee's professional skills and achievement of NCDOT's mission & goals
- Main Purpose
  - To identify, prioritize and record an employee's training needs and how and when training or experience will be obtained
  - To improve performance in current work assignments, acquire or sharpen competencies and prepare employee for positions of changing or greater responsibilities
- Timeframe
  - Short term (for the upcoming evaluation period) - aimed primarily at the achievement of the Department's mission & goals
  - Long term (1-3 years after the upcoming evaluation period) - aimed at the individual's career development and enrichment

## RECOMMENDATIONS:

### Develop an *Employee Training & Development Plan (ETDP) Tool*

- Types of Development and Training
  - **On Boarding Training** – related to the organization, including mission & goals, values as well as structure and history, etc.
  - **Mandatory Training** – required to satisfy federal, state, and/or department needs
  - **Professional Development Training** – long term, needed to fulfill employees personal development, career goals and potential for upward career enhancement
  - **Job Classification Training (Job Specific/Career Track)** – provides knowledge or skills needed by employee to perform or improve their performance in their current job
- Levels
  - Manager
  - Supervisor
  - Individual Contributor



## **RECOMMENDATIONS:**

### **Develop an *Employee Training & Development Plan (ETDP)* Tool**

- Onboarding/Mandatory Training initiated by Human Resources
- Professional Development/Job Classification Training jointly developed by supervisor and employee
- Reviewed periodically by supervisor and employee throughout year – at a minimum it should be reviewed and updated annually
  - both employee and supervisor rely on the ETDP as a roadmap to success
- “Living Document” (plan/not a contract) subject to change as work schedules, mission & goals, and even budgets shift

# RECOMMENDATIONS:

## Develop an Employee Training & Development Plan (ETDP) Tool

### *Benefits of an Employee Training & Development Plan*

- ✓ As a planning device
  - used by supervisors and employees to identify required training that will help them perform in their current job and /or upcoming review cycle while helping the organization meet its goals
  - used as the basis for input into the organization's training needs assessment and training plans
- ✓ For budget purposes - used as a tool to determine training needs and financial resource needs
- ✓ As a communication tool - used by supervisors and employees to discuss career goals and ways to maintain high levels of performance & productivity

# RECOMMENDATIONS:

## Develop an Employee Training & Development Plan (ETDP) Tool

### *Supervisor's Role*

- Represent the organization's needs, goals and opportunities
- Provide feedback on employee's performance in current job by identifying strengths and areas for improvement
- Act as a mentor and coach
- Communicate what is happening with the Department and within unit
- Help assess advancement potential and qualifications for other positions
- Act as a resource and referral for exploring career development options
- Support employees training and development by providing training opportunities and funding if
  - related to the Department's mission & goals
  - funds are available

## **RECOMMENDATIONS:**

### **Develop an Employee Training & Development Plan (ETDP) Tool**

#### ***Employee's Role***

- Take responsibility for their learning and development
- Provide input and participate actively in the development and review of the ETDP
- Research ways of meeting personal career goals and enhancing work performance
- Evaluate own progress and keep supervisor informed
- Identify opportunities for professional development

## **RECOMMENDATIONS:**

**Develop an Employee Training & Development Plan (ETDP) Tool**

**Employee Training & Development Plan Example**

## **REVIEW HANDOUT**

## **NEXT STEPS:**

- Establish training position
- Explore Enterprise Wide License opportunities (Covey, Six Sigma, DDI, etc.)
- Prepare Training profile data for incorporation into LMS
- Continue development of training & development plan (new employees)
- Identify assessment tools to determine competency/development/training gaps
- Develop/identify process to determine training effectiveness
- Provide recommendation to OSP to explore additional opportunities for college credit for CPM, etc.
- Develop Training policy

# Mission and Goals

## NCDOT

### OUR MISSION

*"Connecting people and places in North Carolina – safely and efficiently, with accountability and environmental sensitivity"*

### OUR GOALS

- Make our transportation network **safer**
- Make our transportation network move people and goods more **efficiently**
- Make our infrastructure **last longer**
- Make our organization a place that **works well**
- Make our organization **a great place** to work





STATE OF NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

MICHAEL F. EASLEY  
GOVERNOR

1501 MAIL SERVICE CENTER, RALEIGH, N.C. 27699-1501

LYNDO TIPPETT  
SECRETARY

June 24, 2008

Thomas H. Wright  
Director, NCOSP

Dear Mr. Wright,

As part of our transformation process, the Training Work Group has recommended that OSP explore additional opportunities for obtaining college credit for individuals completing the Certified Public Manager (CPM) program. It is my understanding that such an agreement is in place with the Department of Public Administration at NCSU in which CPM graduates receive 6 hours of credit toward the Masters in Public Administration degree.

We feel that will further enhance our efforts and commitment to provide comprehensive leadership and management development experiences in DOT if this same opportunity was available at other universities in the North Carolina system. In that regards, I request that OSP work to establish similar agreements with other universities.

Your consideration of this request is appreciated. Please feel free to contact me if you have any questions.

Sincerely,

Angela Faulk  
Director – Human Resources

**“Connecting people and places in North Carolina –  
safely and efficiently, with accountability and environmental sensitivity”**



STATE OF NORTH CAROLINA

Approved Classification: \_\_\_\_\_

OFFICE OF STATE PERSONNEL

Effective Date: \_\_\_\_\_

Analyst: \_\_\_\_\_

**POSITION DESCRIPTION FORM (PD-102R-92)**

(This Space for Personnel Dept. Use Only)

1. Present Classification Title of Position Training Administrator	7. Present 15 Digit Position No.	Proposed 15 Digit Pos. No.
2. Usual Working Title of Position Training Administrator	8. Department, University, Commission, or Agency Department of Transportation	
3. Requested Classification of Position	9. Institution & Division Human Resources	
4. Name of Immediate Supervisor Vacant	10. Section and Unit	
5. Supervisor's Position Title & Position Number Talent Management Strategist	11. Street Address, City and County 1 South Wilmington Street Raleigh, NC 27611	
6. Name of Employee Vacant	12. Location of Workplace, Bldg. and Room No. Transportation Building	

**CERTIFICATION:** Signatures indicate agreement with all information provided, including designation of essential functions.

**Supervisor's Certification:** I certify that (a) I am the Immediate Supervisor of this position, that (b) I have provided a complete and accurate description of responsibilities and duties and (c) I have verified (and reconciled as needed) its accuracy and completeness with the employee.

Signature \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

**Employee's Certification:** I certify that I have reviewed this position description and that it is a complete and accurate description of my responsibilities and duties.

Signature \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

**Section or Division Manager's Certification:** I certify that this position description, completed by the above named immediate supervisor, is complete and accurate.

Signature \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

**Department Head or Authorized Representative's Certification:** I certify that this is an authorized, official position description of the subject position.

Signature \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

I. A. Primary Purpose of Organizational Unit:

The primary purpose of the Human Resource Department is to establish and maintain human resources administration for the North Carolina Department of Transportation's workforce based on accepted and successful principles of talent administration. The Human Resources Department provides leadership and supports NCDOT business areas in creating and sustaining dynamic human resource systems to attract, retain, develop and motivate a diverse and competent workforce.

B. Primary Purpose of Position:

The purpose of this position is to ensure that NCDOT provides necessary development opportunities to successfully execute its strategic goals and objectives. The Training Administrator will lead the organization's talent development initiatives by defining, creating and implementing an agency-wide learning strategy that is directly related to our goals and that is supported by specific training and development initiatives.

This position will be responsible for managing and oversight of the implementation of an integrated system designed to allow increased access to training and development data including scheduling, manager approvals, tracking development progress, skills gap analysis, and even virtual learning.

C. Work Schedule:

The established work schedule is normally 8am to 5pm, Monday-Friday. Extended work days may be necessary based on initiatives and associated deadlines.

D. Change in Responsibilities or Organizational Relationship:

This is a new position in NCDOT based on organization assessment and is being established to lead training, development and learning efforts throughout the department. It will report to the Director of Talent Management in the Human Resources Department.

II. A. DESCRIPTION OF RESPONSIBILITIES AND DUTIES: Method Used (Check One)      Order of importance ☐  
Sequential order ☐

Place an asterisk (\*) next to each essential function. (See instructions for complete explanation.) Please note percentage of time for each function.

50%      This position is charged with:

- a. Develop an overall framework that guides NCDOT training and development; develop a learning infrastructure.
- b. Lead in developing organizational culture, processes, infrastructure and information resources that enhance learning and support NCDOT's transformation process.
- c. Facilitate the sharing and transfer of learning; identify gaps in thinking and processes.
- d. Design a system and curriculum which drives the development and attainment of the organization's core competencies in all employees.
- e. Lead the coordination and implementation of one learning management system to house all NCDOT training data.
- f. Use a wide array of organizational development methods, tools and resources to support organizational transformation and continuous improvement efforts.
- g. Establish high-level metrics to determine training and learning effectiveness in closing performance gaps.
- h. Create systems that ensure the supply of qualified candidates to staff the organization in the future, such as building alliances with universities, creating high potential talent pools and ensuring access for all employees to ongoing learning opportunities.

40%      This position is responsible for:

- a. Implementing a department-wide learning management system to provide information on all available courses.
- b. Developing a process that allows for training to be scheduled on a recurring basis thus allowing supervisors/employees to schedule training well in advance.
- c. Developing mechanisms to provide more flexibility in training methods including more widespread utilization of videos and computerized training.

- d. Updating existing training efforts on a yearly or as needed basis.
- e. Implementing the Employee Training and Development Plan Tool. The purpose of this tool is to provide guidance on developmental opportunities based on: weaknesses identified by an assessment process, courses required by career banding, courses required/recommended based on job function and/or career development.
- f. Bringing order to the many fragmented training plans existing throughout the Department.
- g. Developing prioritized long-range training plans for the Department.
- h. Providing a centralized effort for supplying training to all areas of the Department to adequately address specialized training needs throughout the Department.
- i. Setting yearly emphasis areas for training.
- j. Keeping statistical data relating to recruitment, training, costs, etc.
- k. Developing a process such that all Department training activities can be evaluated for effectiveness.

10% Other duties of this position include:

- a. Review need for improved training facilities.
- b. Serve on various committees and task forces.
- c. Represent the organization in all formal training matters both inside and outside the Department.

## II. B. OTHER POSITION CHARACTERISTICS:

### 1. Accuracy Required in Work:

Position must be accurate in all duties and work assigned. Information can impact the entire employee development process and prevent the Department from meeting the vision, mission, goals, and strategic direction.

### 2. Consequence of Error:

As this position is charged with development and implementation of Department wide training initiatives errors in work methods or errors in judgment in terms of the direction of training initiatives could have long term detrimental effects on the individual employees, the Department and the taxpayers. Errors in course development either in content or failure to deliver in a timely manner can severely affect the Department's ability to deliver the transportation program.

### 3. Instructions Provided to Employee:

This position would function with a great deal of autonomy but would rely very heavily on input from all areas of the organization. "Instructions" would be both verbal and written. General guidance will be provided with minimal instruction. Instructions are generally "global" in nature with the plan and implementation left to this employee. Position will work closely with NCDOT senior management and business units to ensure workforce development needs are met in accordance with NCDOT's mission and goals.

### 4. Guides, Regulations, Policies and References Used by Employee:

This employee would have to be guided by Departmental and state governmental Human Resource guidelines, policies, and regulations. This person would be responsible to research and learn a tremendous number of resources as training initiatives are evaluated and developed Department-wide.

### 5. Supervision Received by Employee:

The employee must be a true self starter and work independently with minimum supervision. The employee will be in contact with others, both internal and external of the NCDOT in order to generate ideas for training course and/or program development. Work goals will be established and results will be measured.

### 6. Variety and Purpose of Personal Contacts:

Majority of workday would involve personal contact with others in communicating and gathering information. Employee would have contact with all levels of the organization all across the organization. Employee would be charged with bringing coordination to all of the training efforts across the Department and, therefore, would have to have the ability to handle sensitive cross organizational territory issues. While not having direct supervisory responsibility over the many divisions and units throughout the organization, employee will still need to be able to exert strong influence over these groups. Extensive contact will be required with independent training

organizations, construction industry trade groups, consulting engineering groups, other state DOT's, as well as, employees of various other public and private organizations.

7. Physical Effort:

The normal physical effort required in an office environment will be necessary.

8. Work Environment and Conditions:

Position will work in a typical office environment with travel required.

9. Machines, Tools, Instruments, Equipment and Materials Used:

This position requires proficiency in using various audio/visual equipment; such as overhead projectors, LCD projectors, VCRs and DVDs. The use of training material, such as flip charts, manuals, and PowerPoint computer software will be utilized. Proficiency with personal computer applications is also necessary.

10. Visual Attention, Mental Concentration and Manipulative Skills:

Visual attention, mental concentration and manipulative skills required for this job include: close attention to detail, focused concentration for long periods of time when designing a course or reviewing data, manual dexterity for operation of computers at an office skills level.

11. Safety for Others:

Correct portrayal of technical/safety information during training will obviously bear upon the safety of employees and the general public.

In terms of the employees of this unit, this position is responsible for providing a safe work environment for all staff. This position monitors the workplace for OSHA and Departmental violations and adheres to the NCDOT safety manual policies and procedures.

12. Dynamics of Work:

Changes in technology, policies, procedures, seasonal and emergency changes in the Departmental work schedule, new laws, staff changes, and new initiatives within the Department all impact the work of this unit and therefore, the work of this employee. This position must quickly react to changes by assessing the situation, judging the impact on planned activities and making adjustments to our work activities to accommodate the change. Changes may occur on a daily basis.

III. KNOWLEDGES, SKILLS & ABILITIES AND TRAINING & EXPERIENCE REQUIREMENTS:

A. Knowledge, Skills and Abilities:

Thorough knowledge of the NCDOT organization including rules and responsibilities of each unit is vital. Strong managerial skills and knowledge of current management practices is essential. Strong technical background is necessary to ensure adequate coordination of technical training needs. Incumbent should be knowledgeable in effective group dynamics with the ability to relate to diverse work groups.

B. 1. Required Minimum Training:

Minimum level of formal training includes a Bachelor's Degree from an accredited school.

Preferences – advanced degree and/or experience in adult education.

2. Additional Training/Experience:

Formal training must be supplemented by a minimum of eight years of progressive work experience in the field of adult education or staff development, preferably in state government.

3. Equivalent Training and Experience:

Four years of progressive adult education or staff development experience may be substituted for the Bachelor's Degree.

C. License or Certification Required by Statute or Regulation:

n/a

# North Carolina Department of Transportation Training Evaluation Guide



June 2008

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## **How to Use this Guide**

This guide provides U.S. Department of Transportation (DOT) managers and supervisors with a tool to better understand their responsibility for evaluating learning and development activities (i.e. training programs). It is designed to be as short and succinct as possible, providing an efficient “turnkey” system for busy managers and supervisors who need a simple, straightforward summary.

There are two major reasons to evaluate learning and development activities:

- to gain information on how to improve the activity
- to decide whether to continue, expand, or eliminate the activity.

Throughout the public sector, there is a growing mandate to evaluate the effectiveness of learning and development activities, including training. For example, the Government Performance and Results Act of 1993 requires that every agency submit plans to Congress that contain performance measures tied to subsequent budget allocations.

Before a learning activity is offered or evaluated, it is important to begin with an up-front analysis of the performance problem. Pages 2 to 4 of this guide, beginning with “Is Training the Answer?,” include guidelines and flow charts to help with this up-front analysis. If training is the answer, the guide continues on page 5 by explaining the widely used model of “Four Levels of Training Evaluation”:

- Level 1 – Reaction
- Level 2 – Learning
- Level 3 - Transfer to the job
- Level 4 - Organizational impact

The next page is a checklist to help you decide “What level of training evaluation do you need?” The rest of the guide then provides details for each of the four levels, including:

- background
- job aid
- sample forms

This guide was intended to supplement existing DOT systems, not to replace them. The forms are samples which you can use “as is” or customize to meet your specific needs. Its goal is to help to ensure that every DOT training class is evaluated and that the evaluation data are used to improve training and performance.

## **Is Training the Answer?**

Every effective evaluation process must begin with an up-front analysis of whether training is the best solution to a performance problem. In many cases, a supervisor may believe that non-performance issues occur because individuals do not have the proper competencies to do their job. There may, however, be other human resource and management issues that should be considered.

Too often, training has been used to fix a problem which it cannot solve. When the nonperformance issue is not resolved, the training program is deemed a failure. Therefore, an up-front diagnosis must first determine whether a problem requires a training solution or some other type of HRD intervention. The following chart illustrates one model that is widely used for this process.

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Figure 1: The Performance Development Process



## **Evaluating Performance Gaps**

If there is a gap between the performance needed on the job and the actual performance, you will generally choose one of the following courses of action.

- If the performance gap is not important, ignore it.
- If the performance gap **is** the result of a skill deficiency that can be addressed by training, arrange a training solution.
- If the performance gap **is not** the result of a skill deficiency, apply other HRD solutions.

**Error! Objects cannot be created from editing field codes.**

Figure 2: Evaluating Performance Discrepancies

## **If Training is the Answer, Determine Its Objectives**

Once you determine that training can help to resolve a performance gap, you must define the training objectives.

According to an old saying, “If you don’t know where you’re going, you’ll never get there.” It is possible to fully evaluate a training program only if you know what it was designed to accomplish. Course objectives are:

- a description of the performance you want people to exhibit after the training
- used to determine what gets taught and how
- used to measure student performance and competency
- a means to evaluate the success of the course

Course objectives are action statements. They contain descriptive words that are open to few interpretations and convey explicit intent. An objective has three parts:

- Performance - a statement describing what you expect the learner to be able to do
- Conditions - a description of any circumstances under which the performance occurs
- Criterion - a description of what is considered an acceptable level of performance

For example: Given a standard DOT workstation and software documentation, you will be able to type and print a one page letter with no errors within ten minutes.

Most training courses will have a number of objectives. You measure the success or failure of the training course based on whether participants meet these objectives.

## Four Levels of Training Evaluation

Experts usually distinguish among four levels of training evaluation, which were first published by Donald L. Kirkpatrick in 1959:

	<i><b>Definition</b></i>	<i><b>Advantages</b></i>	<i><b>Disadvantages</b></i>
<b>Level 1: Reaction</b>	Measures participants' opinions about the course. This is the most common way to evaluate a course and provides a measure of customer satisfaction.	Low cost; easy to administer. Provides insights into participants' opinions. Provides quick feedback regarding successes and failures.	Reflects a quick reading of participants' opinions while they are still in class. Results may not be a solid basis for changing an educational strategy.
<b>Level 2: Learning</b>	Measures how well participants have mastered the course objectives. Can include tests of performance before and after the course.	Compared to reactions, this provides more compelling evidence of whether a training program works.	Compared to Level 1, requires more time, funding, and expertise to develop and implement valid measures of learning.
<b>Level 3: Transfer to the job</b>	Measures how the knowledge, skills, and values from a course are used on the job. Typically measured 3 to 6 months after training.	Provides stronger evidence that a training investment has the desired impact.	Compared to Levels 1 and 2, requires more time, funding, and expertise to develop and implement valid measures of transfer.
<b>Level 4: Organizational impact</b>	Measures performance improvement, quality improvements, and cost savings to an organization.	Provides the strongest possible evidence that a training program has the desired impact on an organization.	Substantial levels of investment and expertise are required to implement this level of evaluation successfully.

## **Checklist:**

### **What level of training evaluation do you need?**

When it is time to decide which level of training evaluation should be used for a particular program, there are no simple rules to determine exactly which level you should use. For complex cases, the best guidance will come from experts in training evaluation. However, answer the following questions to get a preliminary idea:

**Error! Objects cannot be created from editing field codes.**

Figure 3: Training Evaluation Checklist

## **Background: Level 1 (Reaction) Evaluation**

In his book *Evaluating Training Programs: The Four Levels*, Donald Kirkpatrick (1994) provides the following guidelines:

- Determine what you want to find out.
- Design a form that will quantify reactions.
- Encourage written comments and suggestions.
- Get 100 percent immediate response.
- Get honest responses.
- Develop acceptable standards.
- Measure actions against standards, then take appropriate action.
- Communicate reactions as appropriate.

In a report analyzing training for DOT, Arthur Andersen made the following recommendations for Level 1 evaluations:

- 100 % of DOT courses should be evaluated at this level.
- Systematically assess the reactions of training participants and faculty.
- Develop a standard set of questions.
- Develop norms.
- Develop format for course specific questions.
- Balance quantitative and qualitative sections of your training questionnaire.

To perform a Level 1 evaluation, see the next few pages for a Job Aid and a sample form.

## Job Aid: Level 1 (Reaction) Evaluation

The following six steps were adapted from *Diversity Training Evaluation Toolkit* (FAA Office of Human Resource Development, June 1994).

### Step 1 - Plan the evaluation:

- Most Level 1 evaluations use a rating scale of 1-5. This makes it easier to score and compare with other individuals and classes.
- You can also include space for personal reactions to the course or instruction.

### Step 2 - Select the tool:

- Based on how much information you need, select the Level 1 sample form to measure student reactions or create your own form.

### Step 3 - Adapt the tool:

- Modify content: Reword, delete, or add items to accomplish your goal.
- Modify the format: Change rating scale items to open-ended questions, or vice versa, depending on what kind of information you wish to obtain.
- Student reactions: To obtain general reactions, ask open-ended questions. To obtain specific reactions to an objective or type of instruction ask detailed questions.

### Step 4 - Implement the evaluation:

- Make enough copies for every student.
- Assure students that the evaluations will be handled professionally and that student comments shall remain anonymous. Students must understand that their answers should be frank and honest and that the results will be used to plan future training programs. (When practical, someone other than the trainer should distribute and collect these forms.)
- Make sure that every student completes the form.

### Step 5 - Analyze the results:

- Rating scales: For each item, count the number of responses to each rating and find the average.
- Short answer questions: Review the comments, categorize them based on similarities, and write a brief summary.

### Step 6 Prepare the report:

- Write a short "Class Evaluation Report" summarizing the results (see the sample at the end of this guide).
- Always compute mathematical averages of students responses, even if you need to convert them to numbers. If someone gives a rating outside the limits (e.g., "10" on a scale of 1 to 5), convert it to the scale (in this case to 5, since that is the highest score).
- Always include all student comments, either by attaching copies of the forms themselves or, if time permits, by retyping them.
- Send copies of the report to the trainer's supervisor and to the DOT organization which funded the training.

	Poor	Fair	Good	Very Good	Excellent
My level of understanding of the objectives and job relevance of this course before attending it.					
Level of difficulty of the course.					
Pace of the course.					
The degree to which the course objectives were accomplished.					
The degree to which the course met my expectations.					
Quality of class discussion.					
Quality of group activities.					
Relevance of the course to my job.					
Degree to which management and co-workers will support my use of skills and values from the course.					
Consistency of materials and media with course objectives.					
Overall quality of the materials (e.g., written materials, videos, etc.).					
Instructor's ability to deal with conflict in a productive manner.					

	Poor	Fair	Good	Very Good	Excellent
Instructor's ability to deal with disruptive behavior.					
Quality of individual feedback given to me.					
Instructor's encouragement of my active participation.					
Clarity of instructor's explanations and instructions.					
Instructor's overall effectiveness					

**The most beneficial part of the course was** \_\_\_\_\_

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**The least beneficial part of the course was** \_\_\_\_\_

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**My suggestions for improvement are** \_\_\_\_\_

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## **Background: Level 2 (Learning) Evaluation**

The following guidelines were taken from Level 2 (Learning) from Kirkpatrick's book, *Evaluating Training Programs: The Four Levels*.

- Use a control group, if practical.
- Evaluate knowledge, skills, and/or attitudes both before and after the program. Use a paper and pencil test to measure knowledge and attitudes and use a performance test to measure skills.
- Get 100 percent response.
- Use the results of the evaluation to take appropriate action.

The DOT recommendations for Level 2 evaluations were taken from an Arthur Andersen study of DOT non-technical, non-military training ("US DOT Training Program Review, Final Report").

- 50% of DOT courses should be evaluated at this level
- Utilize learner assessment on a more limited basis
- Embed test items into Level 1 questionnaires

To perform a Level 2 evaluation, see the next few pages for a Job Aid and a sample form.

## **Job Aid: Level 2 (Learning) Evaluation**

The following six steps were adapted from *Diversity Training Evaluation Toolkit* (FAA Office of Human Resource Development, June 1994).

### **Step 1 - Plan the evaluation:**

- Level 2 evaluation is used to determine if students have reached a satisfactory level of understanding and mastery of the course objectives. Indications for revisions to the course materials are also revealed.
- Talk to managers and others in your branch about the level of evaluation you propose and the costs and benefits of a full evaluation study.
- If your need for evaluation data is significant, plan a more sophisticated study and budget appropriately. In addition to questionnaires, such a study is likely to include pre- and post-tests of performance and/or interviews.

### **Step 2 - Select the tool:**

- Achievement measure: The most popular and accurate measures of learning outcomes are achievement measures.
- Self-report measure: When it is not possible to use the achievement measure, a self-report measure can be used. They do not have the objectivity of achievements measures, but do provide valuable information about class progress.

### **Step 3 - Adapt the tool:**

- Modify content: Reword, delete, or add items to achieve your goals and measure your learning objectives.
- Modify the format: Change rating scale items to open-ended questions or vice versa, depending on what kind of information you wish to obtain.

*Continued on next page*

## **Job Aid: Level 2 (Learning) Evaluation, Continued**

### **Step 4 - Implement the evaluation:**

- Announce and explain the use of this evaluation and its purpose at the beginning of the course.
- Allow enough time to complete the evaluation.
- Participants turn in their evaluations when finished. You may have those who are finished leave the room so as not to distract others.

### **Step 5 - Analyze the results:**

- To analyze this self-assessment measure, subtract the “before” rating from the “after” rating.
- Total the results and divide by the number of items to find the average perceived gain for each individual. The higher the number, the greater the impact of the course.
- Use this process to find the average for the whole class or the aggregate of classes.

### **Step 6 - Prepare the report:**

- Write a short “Class Evaluation Report” summarizing the results.
- Always compute mathematical averages of students responses, even if you need to convert them to numbers. If someone gives a rating outside the limits (e.g., “10” on a scale of 1 to 5), convert it to the scale (in this case to 5, since that is the highest score).
- Always include all student comments, either by attaching copies of the forms themselves or, if time permits, by retyping them.
- Send copies of the report to the trainer’s supervisor and to the DOT organization that funded the training.

NAME (OPTIONAL) \_\_\_\_\_

COURSE \_\_\_\_\_ DATE \_\_\_\_\_

Course Objectives	Before Taking This Class					After Taking This Class							
As a result of taking this course, I am able to:	Before taking (Course Name), my level of knowledge or competency for this objective is:					After taking (Course Name), my level of knowledge or competency for this objective is:							
1. <i>State the course objective here.</i> <i>Example:</i> Demonstrate how to use the mouse to select an icon in Windows.	1	2	3	4	5	1	2	3	4	5			
	Low			Moderate		High		Low			Moderate		High
2. <i>State the course objective here.</i>	1	2	3	4	5	1	2	3	4	5			
	Low			Moderate		High		Low			Moderate		High
3. <i>State the course objective here.</i>	1	2	3	4	5	1	2	3	4	5			
	Low			Moderate		High		Low			Moderate		High
4. <i>State the course objective here.</i>	1	2	3	4	5	1	2	3	4	5			
	Low			Moderate		High		Low			Moderate		High
5. <i>State the course objective here.</i>	1	2	3	4	5	1	2	3	4	5			
	Low			Moderate		High		Low			Moderate		High

## **Background Level 3 (Transfer to the Job) Evaluation**

In his book *Evaluating Training Programs: The Four Levels*, Donald Kirkpatrick (1994) provides the following guidelines for Level 3 (Transfer to the Job) evaluations:

- Use a control group, if practical.
- Allow time for behavior change to take place.
- Evaluate both before and after the program if practical.
- Survey and/or interview one or more of the following: trainees, their immediate supervisor, their subordinates, and others who observe their behavior.
- Get 100 percent response or a sampling.
- Repeat the evaluation at appropriate times.
- Consider costs versus benefits.

In a report analyzing training for DOT, Arthur Andersen made the following recommendations for Level 3 evaluations:

- 30% of DOT courses should be evaluated at this level
- Identify level of evaluation for each program
- Establish schedule for routine follow-up of participants
- Increase ownership of participants to follow-up survey efforts

To perform a Level 3 evaluation, see the next few pages for a Job Aid and a sample form.

## **Job Aid: Level 3 (Transfer to the Job) Evaluation**

The following six steps were adapted from *Diversity Training Evaluation Toolkit* (FAA Office of Human Resource Development, June 1994).

### **Step 1 - Plan the evaluation:**

- Decide whether you will evaluate to confirm the effectiveness of the course or to improve it. List specific values and skills that you will measure.
- Talk to managers and others in your branch about the level of evaluation you propose and the costs and benefits of a full evaluation study.
- If your need for evaluation data is limited or your budget is not sufficient for a full study, use the sample forms in this guide. This will permit you to collect limited data on Level 3 for a very low cost.
- Determine which employees will be included. Ideally, you should include everyone who has taken the course. If time and budget are a constraint, consider using a sample group.

### **Step 2 - Select the tool:**

- Post-training surveys: Questionnaires that are sent to employees and/or their managers one to three months after training. Their purpose is to determine which skills learned in the course are being used.
- Direct observation: Consists of checklists to record actual observations of employee application of skills learned in training.

### **Step 3 - Adapt the tool:**

- Modify content: Reword, delete, or add items to make them fit your learning objectives.
- Modify the format: Change rating scale items to open-ended questions, or vice versa, depending on what kind of information you wish to obtain.

*Continued on next page*

## **Job Aid: Level 3 (Transfer to the Job) Evaluation,** Continued

### **Step 4 - Implement the evaluation:**

- Two dates should be chosen, one soon after the training and one later.
- Send the evaluation and other relevant information to the employee.
- Send reminders to those who are slow to return the forms and keep records of the collected evaluations to ensure good return.
- Consider measuring both student responses and the responses of their managers or supervisors.

### **Step 5 - Analyze the results:**

- For each item, count the number of responses to each rating and find the average.
- Review the comments, categorize them based on similarities, and write a brief summary.
- Total the results and divide by the number of items to find the average perceived gain for each individual.
- Use this process to find the average for the whole class or the aggregate of classes.

### **Step 6 - Prepare the report:**

- Write a short “Class Evaluation Report” summarizing the results.
- Always compute mathematical averages of students responses, even if you need to convert them to numbers. If someone gives a rating outside the limits (e.g., “10” on a scale of 1 to 5), convert it to the scale (in this case to 5, since that is the highest score).
- Always include all student comments, either by attaching copies of the forms themselves or, if time permits, by retyping them.
- Send copies of the report to the trainer’s supervisor and to the DOT organization which funded the training.

NAME (OPTIONAL) \_\_\_\_\_

COURSE \_\_\_\_\_ DATE \_\_\_\_\_

Specific Task	Prepared How well did the course prepare you to perform this task?	Use How often do you use this knowledge or skill on the job?	Importance How important is this skill or knowledge to your job?
<i>State specific task here.</i> <i>Example: Use MS Word to create tables in reports.</i>	<input type="checkbox"/> Poorly <input type="checkbox"/> Somewhat <input type="checkbox"/> Very well	<input type="checkbox"/> Seldom <input type="checkbox"/> Sometimes <input type="checkbox"/> Very often	<input type="checkbox"/> Not at all <input type="checkbox"/> Somewhat <input type="checkbox"/> Very much
<i>State specific task here.</i>	<input type="checkbox"/> Poorly <input type="checkbox"/> Somewhat <input type="checkbox"/> Very well	<input type="checkbox"/> Seldom <input type="checkbox"/> Sometimes <input type="checkbox"/> Very often	<input type="checkbox"/> Not at all <input type="checkbox"/> Somewhat <input type="checkbox"/> Very much
<i>State specific task here.</i>	<input type="checkbox"/> Poorly <input type="checkbox"/> Somewhat <input type="checkbox"/> Very well	<input type="checkbox"/> Seldom <input type="checkbox"/> Sometimes <input type="checkbox"/> Very often	<input type="checkbox"/> Not at all <input type="checkbox"/> Somewhat <input type="checkbox"/> Very much
<i>State specific task here.</i>	<input type="checkbox"/> Poorly <input type="checkbox"/> Somewhat <input type="checkbox"/> Very well	<input type="checkbox"/> Seldom <input type="checkbox"/> Sometimes <input type="checkbox"/> Very often	<input type="checkbox"/> Not at all <input type="checkbox"/> Somewhat <input type="checkbox"/> Very much
<i>State specific task here.</i>	<input type="checkbox"/> Poorly <input type="checkbox"/> Somewhat <input type="checkbox"/> Very well	<input type="checkbox"/> Seldom <input type="checkbox"/> Sometimes <input type="checkbox"/> Very often	<input type="checkbox"/> Not at all <input type="checkbox"/> Somewhat <input type="checkbox"/> Very much
<i>State specific task here.</i>	<input type="checkbox"/> Poorly <input type="checkbox"/> Somewhat <input type="checkbox"/> Very well	<input type="checkbox"/> Seldom <input type="checkbox"/> Sometimes <input type="checkbox"/> Very often	<input type="checkbox"/> Not at all <input type="checkbox"/> Somewhat <input type="checkbox"/> Very much



## **Background: Level 4 (Organizational Impact) Evaluation**

In his book *Evaluating Training Programs: The Four Levels*, Donald Kirkpatrick (1994) provides the following guidelines for Level 4 (Organizational Impact) evaluations:

- Use a control group, if practical.
- Allow time for results to be achieved.
- Measure both before and after the program if practical.
- Repeat the measurement at appropriate times.
- Consider costs versus benefits.
- Be satisfied with evidence if proof is not possible.

In a report analyzing training for DOT, Arthur Andersen made the following recommendations for Level 4 evaluations:

- 10% of DOT courses should be evaluated at this level
- Limit the goal of conducting Level IV evaluation
- Adopt a Return on Expectations (R-O-E) in lieu of Return on Investment (R-O-I)
- Determine secondary sources of data

To perform a Level 4 evaluation, see the next few pages for a Job Aid and a sample form.

## **Job Aid: Level 4 (Organizational Impact) Evaluation**

The following six steps were adapted from *Diversity Training Evaluation Toolkit* (FAA Office of Human Resource Development, June 1994).

### **Step 1 - Plan the evaluation:**

- Level 4 evaluation is used to determine whether any organizational benefits have resulted from the training. The goal is expressed in terms of organizational results which are measured and can be related to training. Results can be in the form of perceptions, performance improvements, or financial benefit.
- Talk to managers and others in your branch about the level of evaluation you propose and the costs and benefits of a full evaluation study.
- Determine which employees will be included. You should include everyone who has taken the course. If time and budget are a constraint, consider using a sample group.

### **Step 2 - Select the tool:**

- Post-training surveys: Questionnaires that are sent to employees and/or their managers after training. Their purpose is to determine which skills learned in the course are being used.
- Direct observation: Consists of checklists to record actual observations of employee application of skills learned in training.

### **Step 3 - Adapt the tool:**

- Modify content: Reword, delete, or add items to make them fit your learning objectives.
- Modify the format: Change rating scale items to open-ended questions, or vice versa, depending on what kind of information you wish to obtain.

### **Step 4 - Implement the evaluation:**

- Organizational results are usually observed 3 to 6 months after the training.
- Send the evaluation to managers who can observe organizational results.
- Send reminders to those who are slow to return forms and keep records of the collected evaluations to ensure good return.

*Continued on next page*

## **Job Aid: Level 4 (Organizational Impact) Evaluation,** Continued

### **Step 5 - Analyze the results:**

- For each item, count the number of responses to each rating and find the average.
- Review the comments, categorize them based on similarities, and write a brief summary.
- Total the results and divide by the number of items to find the average perceived gain for each individual.
- Use this process to find the average for the whole class or the aggregate of classes.

### **Step 6 - Prepare the report:**

- Write a short “Class Evaluation Report” summarizing the results.
- Always compute mathematical averages of students responses, even if you need to convert them to numbers. If someone gives a rating outside the limits (e.g., “10” on a scale of 1 to 5), convert it to the scale (in this case to 5, since that is the highest score).
- Always include all student comments, either by attaching copies of the forms themselves or, if time permits, by retyping them.
- Send copies of the report to the trainer’s supervisor and to the DOT organization which funded the training.

**STUDENT NAME (OPTIONAL)** \_\_\_\_\_

**NAME OF SUPERVISOR OR MANAGER (OPTIONAL)** \_\_\_\_\_

**COURSE** \_\_\_\_\_ **DATE** \_\_\_\_\_

**I TOOK THE COURSE.** ☐

**I SUPERVISE THE STUDENT NAMED ABOVE.** ☐

Organizational Result	Rating				
	Strongly Disagree		Strongly Agree		
1. State desired organizational result here. Example: Using computers is part of my everyday job.	1	2	3	4	5
2. State desired organizational result here.	1	2	3	4	5
3. State desired organizational result here.	1	2	3	4	5
4. State desired organizational result here.	1	2	3	4	5
5. State desired organizational result here.	1	2	3	4	5

## Sample Class Report for a Level 1 Evaluation

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*Class:* CDI Supervisor Training  
*Dates:* August 20-21, 1996  
*Instructors:* Mary Smith, Jim Jones  
*Students:* 12

---

*Evaluation averages:*

Relevance to your job	4.8
Clarity of objectives	4.7
Course length and pace	4.6
Course materials	4.6
Instructors	4.9
Facilities	4.2
<b>Overall quality</b>	<b>4.8</b>

Scale: 1 = Poor, 2 = Satisfactory, 3 = Good, 4 = Very good, 5 = Excellent

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*Student Comments:*

“I would have liked more time on the case studies.”

“This class has done a great deal to increase my overall knowledge and confidence as a supervisor.”

“Instructors were very helpful given the wide disparity of levels of knowledge!”

“Terrific; this information will help me in my new job.”

*Special issues:*

One student left class at lunch on the second day due to illness and did not complete the final test or fill out an evaluation form.

## **Evaluations: For More Information**

*For more sample evaluation forms and step-by-step instructions on when and how to perform evaluations at each level, see:*

The Federal Aviation Administration, Assistant Administrator for Human Resource Management. "How to Do Training Evaluation: A Practical Handbook." October 1994.

*For additional tools for planning and conducting training evaluations, see:*

United States Office of Personnel Management, Human Resources Development Group, Office of Research and Information. "Establishing the Value of Training: Resource Guide." March 1994, HRDG-023.

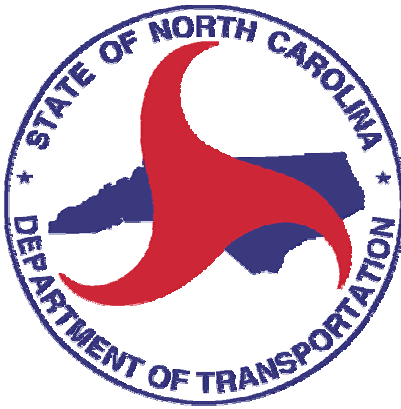
*For more information on the DOT study of non-technical, non-military training, see:*

Arthur Andersen & Co. "US Department of Transportation, Training Program Review, Final Report." February 1996.

*For a general overview of the four levels of evaluation, see:*

Kirkpatrick, Donald L. *Evaluating Training Programs: The Four Levels*. San Francisco: Berrett-Koehler Publishers, 1994.

# NORTH CAROLINA DEPARTMENT OF TRANSPORTATION



## **DRAFT** TRAINING AND DEVELOPMENT POLICY

June 2008

## **POLICY STATEMENT**

It is the policy of the North Carolina Department of Transportation to provide management with a means to support training and development activities. These activities must be deemed beneficial to both the department and employee, and should serve the citizens of North Carolina through the mission and goals of the NCDOT. The intent of this policy is to provide training and development opportunities to all employees based on need and funding availability.

Secretary of the Department of Transportation

## **PURPOSE**

It is the intent of this policy to support training and development activities that directly relate to the organization's identified mission, goals, and values and to enhance employee development through the gain of job-related knowledge, skills, and behaviors (competencies). Training and development is not an employee benefit, right or entitlement; it is a management program for workforce development; denial of participation in training and development activities is not grievable, except on grounds of discrimination.

**Utilization of training and development opportunities shall be identified, described, and documented in the employee's training and development plan. This provides a measurable link between the employee's increased competency and the agency's workforce development efforts.**



## DEFINITIONS

1. **Eligible Employees** – Full time or part-time employees who have a permanent or probationary appointment. Trainees and temporary employees may be determined as eligible by management depending on the type of training and development opportunity.
2. **Ineligible Employees** – It is the intent of the Department that all employees, regardless of status, receive basic training and development opportunities depending on their job function (i.e. safety training).
3. **Development Opportunity** – An employee training, education, or developmental learning experience that may include, but is not limited to, short courses, workshops, seminars, conferences, on-the-job training, and technical or professional training.
4. **Strategic Management Committee (SMC)** – a leadership level committee made up of the Secretary, Chief Deputy Secretary, Deputy Secretary of Intergovernmental Affairs and Budget Coordination, Deputy Secretary of Transit, Deputy Secretary of General Administration, State Highway Administrator, DMV Commissioner, and Chief Financial Officer. The role of the SMC is to provide leadership and direction related to NCDOT strategies and priorities and guidance related to our Talent Management initiatives.
5. **Training and Development** – The process of providing for and making available to an employee and placing or enrolling the employee in a planned, prepared, and coordinated program, course, curriculum, subject, or routine of instruction or education. Training may be in professional, technical, safety, administrative, or other fields which are or will be directly related to increasing their knowledge, proficiency, ability, skill, and qualifications in the performance of their official duties.
6. **Training Effectiveness** – It is the intent of this policy that all training and development opportunities be evaluated for effectiveness at some level. This may be direct feedback from participants, to test(s) on knowledge gain, to demonstration of a new skill on-the-job, to an improvement in our business results.

## POLICY

- It is the policy of NCDOT not to deny training based on race, sex, color, creed, national origin, age, or disability.
- NCDOT encourages employees to identify and participate in development programs that will improve job performance, increase employee potential, and enhance the mission and goals of the Department.
- NCDOT encourages employees to take full advantage of development opportunities related to their jobs.
- Limitations or delay in offering training to an employee shall be determined by budget restrictions; temporary work flow problems or staff shortage in a specific work unit; limitations set by the resources available (i.e. class size

restrictions or classification requirement); and/or the unacceptability of the proposed training resource as determined by management after consultation by the Training Administrator.

- Special development opportunities that address the needs of a specific business unit may be requested or arranged by a supervisor or manager. Management may organize training for a particular classification group or select person based on a defined need.
- Training may be considered required or voluntary, depending on the reasonable necessity in the work place. If training is required, it shall be so specified at the time of offering.
- All required development opportunities should be included in the Employee Training and Development Plan.
- NCDOT considers registration or enrollment in a training program a commitment on the employee's part to satisfactorily complete the program. Satisfactory completion will be a required job performance expectation.
- Employees who fail to complete training courses, workshops, etc. for which NCDOT has paid tuition or registration fees will be required to reimburse the full cost of the training.
- It is intended that this policy be used in conjunction with North Carolina State Government policies on Personnel Training and Development and Academic Assistance in the State Personnel Manual and the NCDOT Academic Assistance Program Policy and Procedures.

## **RECORD KEEPING/DOCUMENTATION**

The Training Administrator will maintain all training records for NCDOT. Business Units independently arranging training shall ensure that training rosters are entered in the Training database. Business Unit managers shall submit a report of identified staff development and training needs to the Training Administrator annually. These reports will be consolidated and the output will be used to: identify needs; consolidate requests to maximize resource allocation; facilitate record keeping; provide management review of training and development activities; provide a systematic manner for supervisors and managers to encourage employee development; and provide a communications system for the Training Administrator.

Each employee will have a Training and Development Plan. The purpose of this plan is to identify, prioritize, and record an employee's training needs as well as how and when the training and development opportunity will occur.

## **RESPONSIBILITIES**

1. Management – Employee development is a responsibility of every supervisor and manager. Supervisors and managers shall:
  - a. Provide employees with on-the-job training in the proper performance of tasks;
  - b. Provide a climate in which training and development of employees is encouraged;
  - c. Identify opportunities for employee improvement;
  - d. Ensure that all employees have access to necessary training and development opportunities;
  - e. Ensure that employees participate in programs required by NCDOT as requirements of the employee's position/employment;
  - f. Develop a Training and Development Plan for each employee;
  - g. Monitor the performance of employees with respect to the knowledge, skills, and behaviors acquired;
  - h. Assess effectiveness of training opportunities and the employee's ability to apply learning in work through day-to-day supervision and performance appraisal; and
  - i. Integrate an employee's growth and development needs with the mission and goals of NCDOT.
2. Employees – Each employee shall:
  - a. Retain an obligation for their own development and education;
  - b. Identify opportunities for knowledge, behavior, and skill development to improve on-the-job performance;
  - c. Attend the full length of the development opportunities and participate in all learning activities;
  - d. Complete all of the programs provided by NCDOT as requirements of position/employment; and
  - e. Apply gained knowledge, behaviors, and skills to his/her current job.
3. Training Administrator – The training administrator shall:
  - a. Serve as staff to the SMC in regards to training and development;
  - b.
4. SMC – The SMC shall identify, recommend, initiate and provide oversight for NCDOT's training initiatives and specific activities including:
  - a. Identifying knowledge, skills, and behaviors (competencies) required to accomplish the NCDOT mission and goals;
  - b. Developing strategies and plans to address identified learning needs and focusing resources on the highest priority needs;

- c. Ensuring training and development opportunities build needed knowledge, skills, and behaviors and include more effective incorporation of knowledge sharing, mentoring, and distance learning in the development of employees;
- d. Reviewing, approving, and prioritizing training programs that serve to improve performance;
- e. Reviewing reports of participant evaluations, supervisory feedback, instructor observations, and other standards of development opportunity effectiveness;
- f. Evaluating training and development opportunities to determine whether the specific opportunity is contributing effectively to NCDOT's mission and goals and to the attainment of knowledge, skills, and behaviors;
- g. Evaluating the costs of training and development opportunities; and
- h. Implementing program modifications when changes occur and/or as decisions are made to add or expand department objectives.

## Leadership Development Needs Assessment Questionnaire

This survey is being conducted to assess what the leaders of NCDOT believe to be the most pressing skill development needs of the department's management team. In an effort to enable a rich cross-section of job functions and responsibilities to be heard and as one of the department's top leaders, you are being asked to take several minutes to complete this survey.

This survey is pulled directly from NCDOT's new Performance Dashboard and Appraisal and we list the nine leadership competencies and the associated skills or behavioral indicators. You are being asked to assess both how **important** each of these skills are to NCDOT's success and how **effective** the current leadership team is at each of these skills. The information you provide will be used to identify training and development needs and to prioritize leadership training investments over the next year.

While you may feel that skill development in all of the areas is important, please attempt to think about the importance/effectiveness of individual characteristics in relation to the importance/effectiveness of all others as you provide an importance/effectiveness rating.

The survey concludes with three additional questions. One asks you to list what you view as the most critical skill development needs of NCDOT using the 57 behavioral statements, one asks for other critical development needs that may not be included in the 57 behavioral statements, and the last question seeks your input regarding the best mechanism to deliver skill development training to NCDOT leaders.

This survey should be completed by \_\_\_\_\_. If you have further questions about its purpose, or if you require additional information prior to completing the questionnaire, you should contact Joey Hopkins at [jhopkins@ncdot.gov](mailto:jhopkins@ncdot.gov). The term "leaders" refers to the top 150 positions within NCDOT.

### Part A – Skill Importance and Current Leaders' Effectiveness

In answering the **importance** question, consider the importance of each skill in relation to the challenges that currently face NCDOT and the role leaders must play in ensuring that NCDOT's transformation efforts are successful. All items may be very important, but please distinguish those that are more important from those that are less important. Do not rate every item a "10."

In answering the **effectiveness** question, consider the leadership team as a whole. On many of the skills, there may be a wide range of effectiveness among the top 150 leaders. But, taken as a team, what is the average level of effectiveness? As with the importance ratings, do not rate every item a "10."

	How <b>important</b> is this skill for NCDOT's leaders?	In general, how <b>effective</b> are today's NCDOT leaders at this skill?
	Not at all                      Extremely	Not at all                      Extremely
<b><u>Self-Management</u></b>		
1. Models high standards of honesty and integrity.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
2. Manages time wisely focusing on leadership activities and priorities.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
3. Addresses issues when they arise before they get out of hand.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
4. Is open to new approaches and re-evaluates own position when necessary.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
5. Promotes ethical practices in all organizational activities.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
6. Demonstrates resilience by responding constructively to change and setbacks.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
7. Maintains professional demeanor and responds to citizens in a courteous, respectful manner.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
8. Takes initiative.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>Leading People</u></b>		
9. Inspires, motivates and leads others toward goal achievement.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
10. Communicates ideas and facts in a clear and persuasive way.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
11. Delegates responsibility along with authority to take action.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
12. Treats all individuals fairly with sensitivity and respect.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
13. Listens and shows understanding of what others are saying.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
14. Creates work environment that is attractive to employees and applicants.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
15. Exemplifies NCDOT values through own behavior	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
16. Creates a climate in which everyone is respected and recognized for their contributions.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>Results Focus</u></b>		
17. Sets clear performance expectations for self and team.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
18. Works to fulfill customer requirements with a quality product or service.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
19. Creates a climate in which candid feedback is both sought and given frequently.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
20. Quickly addresses employees whose performance does not meet expectations.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
21. Focuses on results and measuring attainment of outcomes.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
22. Makes wise use of technology to enhance productivity.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>Strategic Focus</u></b>		
23. Builds a shared vision with others.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
24. Influences others to translate vision into action.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10

25. Anticipates and addresses potential threats and opportunities.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
26. Applies a long-term perspective when developing strategic plans and priorities.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
27. Develops business plans that ensure sustainability and support NCDOT's long-term vision.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
28. Adjusts strategic plans to address changing internal and external conditions.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>Managing Change</u></b>		
29. Motivates people to embrace needed change.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
30. Creates a work environment that encourages creative thinking and innovation.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
31. Takes necessary action to implement innovative new approaches, services, & capabilities including eliminating impediments to change.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
32. Redesigns work processes, organizational structures and procedures when a change is necessary.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
33. Creates an environment where learning and developing new skills are part of day-to-day work.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>People Management</u></b>		
34. Promotes the use of effective employee development practices (e.g., career development planning, coaching and mentoring, performance management, etc.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
35. Ensures policies are applied correctly and in a consistent manner.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
36. Ensures the organization follows practices for recruiting and retaining a high performing workforce with a range of viewpoints and backgrounds.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
37. Does not show favoritism.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
38. Acts to address anticipated staff changes (e.g., retirement, promotion, turnover, etc.) so that productivity is not lost.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>Financial Management</u></b>		
39. Develops and manages budgets for projects, programs, services, and initiatives to ensure cost-effective resource use while minimizing cost overruns.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
40. Makes sound decisions on budget expenditures, including salaries, equipment, supplies, and services.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
41. Forecasts and persuasively communicates future budget needs.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
42. Sets priorities so that sufficient resources are devoted to the most critical needs.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
43. Develops financial strategy to allocate resources in alignment with mission and goals.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>Collaboration / Partnering</u></b>		
44. Anticipates and acts to prevent destructive conflict situations.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
45. Manages conflicts so the work gets done with minimal disruption and without compromising future collaborative relationships.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
46. Builds trust and open communication among team members.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10

47. Collaborates across organizational boundaries to deliver projects, programs, services, and initiatives.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
48. Collaborates with external partners to deliver projects, programs, services, and initiatives.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
49. Acts based on broad knowledge of programs, projects, services, and initiatives throughout NCDOT.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
50. Works to overcome barriers to partnering.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
<b><u>Problem Solving and Decision Making</u></b>		
51. Acts decisively when quick action is required, even in uncertain situations.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
52. Makes difficult or unpopular decisions when necessary.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
53. Tackles problems with a clear perception of organizational and political reality.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
54. Takes calculated risks to achieve recognized benefits.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
55. Finds resourceful solutions when traditional approaches don't work.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
56. Makes decisions based on data rather than intuition.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10
57. Quickly grasps the essence of new information.	1 2 3 4 5 6 7 8 9 10	1 2 3 4 5 6 7 8 9 10

## Part B – Critical Needs

1. What are the most critical skill development needs of NCDOT's leadership team? Review the above list of 57 skills and list here the five that truly stand out, that you believe are most critical for the team to further develop (to become more skilled at) in order for NCDOT to meet the many challenges it faces and to be successful. (Enter the numbers of the most critical items.)

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■	
■	
■	
■	

2. Please list any skills not included in the questionnaire that you believe are critical developmental needs for NCDOT's leadership team.

■	
■	



### **Part C – Training Approach**

In your view, what would be the best way for the leadership team to build the skills you have identified in Part B?

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AUGUST \_\_\_\_, 2008

To "Top 150" NCDOT Leaders  
From Secretary Lyndo Tippet  
Subject Leadership Development Needs Assessment

As we transform into a Transportation Department that meets the needs of our state in the 21<sup>st</sup> century we know that we must focus on developing our leaders. We must give you the skills you need as you guide our organization to meet our goals. We need your help to determine how best to do this.

Our first step is to determine which leadership skills we collectively believe are most important to and needed by NCDOT. In the next few days we will send a survey on this topic to you. I ask that you take the time to complete it thoughtfully. Your completion of this survey is central to its success and the results will allow us to identify and prioritize leadership training investments for the next year.

I thank you in advance for your participation in the upcoming survey. Strong leadership is key to achieving our mission of connecting people and places in North Carolina, safely and efficiently, with accountability and environmental sensitivity.

AUGUST \_\_\_\_, 2008

To "Top 150" NCDOT Leaders  
From Secretary Lyndo Tippet  
Subject Leadership Development Needs Assessment

A few days ago you received an e-mail from me telling you of a survey we are conducting related to training and development needs. You will recall that the purpose of the survey is to help identify and prioritize leadership training investments for the next year. As leaders we need your input into this assessment and your participation is vital to its success.

Here is a link to the survey:

Please complete this survey by \_\_\_\_, 2008.

If you have technical problems opening, completing or returning the questionnaire, please contact Doug Cox at (919) 733-2083 or [dc Cox@dot.state.nc.us](mailto:dc Cox@dot.state.nc.us).

Thank you for your prompt attention to this important survey.

AUGUST \_\_\_\_, 2008

To "Top 150" NCDOT Leaders  
From Secretary Lyndo Tippet  
Subject Leadership Development Needs Assessment

Thank you to those of you who completed the subject survey. The TMT will process the survey data and will report results in \_\_\_\_\_. These results will allow us to identify and prioritize our leadership training investments for the next year. We are working to give you, the leaders of this Department, the development opportunities that will enable you to lead our organization to make our network safer, make it move people and goods more efficiently, and make it last longer.

## **NCDOT SHOULD DEVELOP A STRATEGIC PLAN FOR TRAINING AND DEVELOPING OUR EMPLOYEES**

### **Overview:**

- Employees feel current training is not relevant to their jobs and does not aid in career development
- Employee perception is that the development of employees is not seen as an investment or as a priority (travel restrictions, no funding for participation in professional organizations, etc.)
- The revamped training strategy will be designed to develop the talent of the organization based on the overall talent management strategy of the department

### **Rationale:**

- All training would be targeted with specific outcomes
- Department would have a plan to strategically fill talent gaps in the organization
- Senior leadership would be involved in the iterative process of career planning and development of “top talent”
- X, X, and X organizations all have development models that have been proven successes for long term talent management and for employee performance, satisfaction, and retention.

### **Program details:**

- Iterative process to determine capability gaps across the organization
- For each capability, use appropriate mix of training with OJT development
- Develop cross training module
- Develop mentoring module
- The program will be run by HR
- Develop “pilot” program for “key leadership” positions

### **Benefits:**

- Develop bench strength
- Ability to prepare for capability gaps in organization
- Training more relevant and strategic
- Organization strengthened by broadened skill set of talent

### **Potential challenges (and mitigations):**

- Lack of career tracks
- Current out of state and other travel policies
- Philosophy on time away from work to “train”
- Fear that training employees with no binding commitment to stay with department